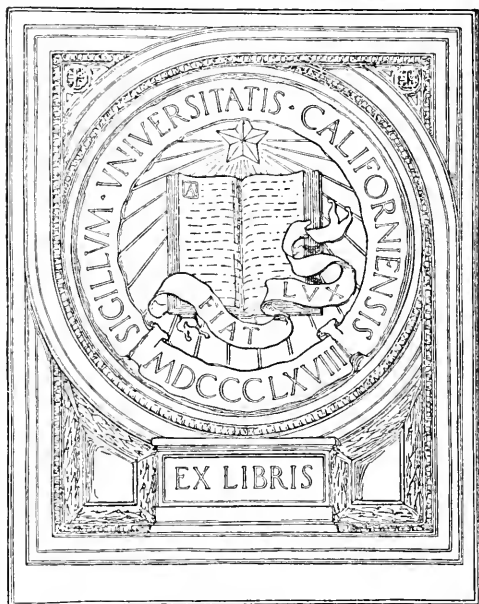


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PRINCIPLES OF ADMINISTRATION

THE INSTITUTE FOR GOVERNMENT RESEARCH

PRINCIPLES OF PUBLIC  
PERSONNEL ADMINISTRATION

BY  
ARTHUR W. PROCTER



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1921

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## THE INSTITUTE FOR GOVERNMENT RESEARCH

Washington, D. C.

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The Institute for Government Research is an association of citizens for coöperating with public officials in the scientific study of government with a view to promoting efficiency and economy in its operations and advancing the science of administration. It aims to bring into existence such information and materials as will aid in the formation of public opinion and will assist officials, particularly those of the national government, in their efforts to put the public administration upon a more efficient basis.

To this end, it seeks by the thorough-going study and examination of the best administrative practice, public and private, American and foreign, to formulate those principles which lie at the basis of all sound administration, and to determine their proper adaptation to the specific needs of our public administration.

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## PREFACE

The present volume is the reverse of a pretentious undertaking. It has as its sole purpose to furnish a brief introduction to the study of the problem that confronts all governments of securing and maintaining an efficient personnel. The preparation of such a study was thought worth while due to the extreme complexity of the problem and the wide attention that is now being paid to the subject.

One has but to run through this volume, or the more elaborate one being published about the same time, by the Institute for Government Research, giving a detailed examination of the personnel system of the federal government, to appreciate the large number of distinct factors entering into the problem of an efficient public personnel system, all of which must be properly provided for if a satisfactory system of personnel administration is to be secured. These factors, moreover, are largely of a technical character. They involve, not merely general principles, such as that underlying the merit system, but the determination of the character of organization and procedure that shall be employed in putting these principles into execution, the nature of the tests that shall be made use of in selecting new employees, the manner in which employees shall be classified for the purpose of fixing their compensation, controlling their opportunities for promotion, etc., the means to be employed in determining the relative efficiency of employees engaged in the same or collateral lines of work, the nature of the personnel records to be maintained, and scores of other details. These are all questions that can only be answered after intensive and technical studies of them have been made.

Finally, there is raised in respect to almost every one of them the important question of the extent to which the effort should be made to fix conditions by statutory enactments or to leave discretion in respect of them to administrative authorities, and, if the latter policy is adopted, the extent to which this discretion shall

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be placed in the hands of those officers who are in direct charge of the operating services or shall be vested in a general personnel agency.

Only a relatively few persons can be expected to concern themselves with the technical phases of this problem. There are many, however, who ought to have a fairly comprehensive grasp of the nature and scope of the problem as a whole. Especially is this true of the members of our national, state, and local legislative bodies, who are called upon to consider proposals looking to a reorganization of the personnel system of the governments with which they are connected, and the superior administrative officers of such governments. It is to this class that the present volume is chiefly addressed.

The author, Mr. Arthur W. Procter, has for years been directly concerned, as a member of the staff of the late President's Commission on Economy and Efficiency, the New York Bureau of Municipal Research, and the Institute for Government Research, with the study of problems of personnel administration; and, in 1915-1916 had charge of the investigation work of the important inquiry regarding the standardization of public employments of the state made by the Senate Committee on Civil Service of New York State. In one or the other of these capacities he made a personal study of the personnel systems of those states and cities that had made the most progress in recent years in the improvement of their systems for the handling of personnel matters. It is not to be expected that the positions taken by the author will in all cases be accepted. They represent, however, the conclusions that have been reached by one who has had exceptional opportunities for the prosecution of studies in this field, and will at least be suggestive and serve to open up the subject in a broad way.

The author writes to acknowledge his indebtedness to Mr. D. W. Fisher of the University of Minnesota, who gave very valuable assistance in the preparation and editing of the manuscript of this volume.

W. F. WILLOUGHBY



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# PRINCIPLES OF PUBLIC PERSONNEL ADMINISTRATION

## CHAPTER I

### HISTORY OF PUBLIC EMPLOYMENT

The problem of employment as it relates to private enterprise has of late years been given a great deal of attention. The corresponding problem, as it relates to the selection, retention, and development of workers in the service of our various governments, has received comparatively little attention. Yet the national government is the largest single employer in the country; and all of our governments taken together carry on their payrolls approximately 2,000,000 employees. In view of the number of persons directly concerned, and in view of the well known fact that conditions in the service of our various governments are far from being satisfactory, the problem of public employment is worthy of serious and constructive consideration.

In the following pages this problem is considered, existing conditions are briefly described, and remedial measures proposed. The discussion is limited to employment as it is carried on, or should be carried on, by civil service commissions in the national government and in the various state, city, and other local governments. As an introduction to the study of this problem, the several phases of the history of public employment

## PUBLIC PERSONNEL ADMINISTRATION

in this country since the founding of the national government are presented in summary form.

**Early Conditions.** The first period extended from 1789 to 1829, the year which marked the end of the administration of John Quincy Adams. It was a period in which public employees were selected and retained without regard to any formal method, but on the whole with wisdom and fairness.

During this time public employment presented a comparatively simple problem. In 1800 the total number of civilian employees in the national service did not exceed 3,000. The selection of men for the more important positions was handled directly by the President or the members of his Cabinet in accordance with a strong sense of responsibility to the electorate of the country. No restrictions, such as exist to-day, had been imposed on the power of appointment and removal, but competent men were generally chosen for public office and employment, and they were generally retained in the public service as long as they performed their duties honestly and effectively.

The conditions in the national service were somewhat better than those that existed in the various state and municipal governments. As early as 1801 the conception of appointment to public office as an incident of party victory had been introduced into the administration of the government of New York State.

**The "Spoils System."** The second period of public employment, which extended from 1829 to 1883, was dominated by the principles and practices known as the "spoils system." The foundation of this system had been laid in 1820 in the "Tenure of Office Act," which provided that "district attorneys, collectors of the customs, navy agents, receivers of public moneys for lands,

## HISTORY OF PUBLIC EMPLOYMENT

registers of the land office, paymasters in the army, the apothecary-general, assistant apothecaries-general, and the commissary-general of purchases" shall be "removable from office at pleasure." When President Jackson came into office in 1829 he availed himself fully of the powers conferred under this act, and proceeded to establish firmly the system of spoliation. The underlying idea of this system was expressed in the slogan: "To the victor belong the spoils." In the course of eight years Jackson removed from office more men than had been removed in the 40 years preceding his administration, and he filled the vacancies thus created, as well as other vacancies which occurred in the civil service, by appointing his partisan supporters. The acquiescence of the people in the spoils system, as Bryce has pointed out, was explained in part by the fact "that the administration used to be conducted in a happy-go-lucky way, that the citizens, accustomed to helping themselves, relied very little on their functionaries, and did not care whether they were skillful or not, and that it was so easy and common for a man who fell out of one kind of business to take up and make his living by another, that deprivation seemed to involve little hardship."<sup>1</sup>

Under the successors of Jackson the spoils system continued to flourish. It dominated the selection of public employees and exercised a potent influence over the whole of American political life. In 1846 Calhoun declared in the Senate: "The presidential election is no longer a struggle for great principles, but only a struggle as to who shall have the spoils of office." Both parties accepted and acted upon this principle. Victory at the polls was considered authorization to turn out of office all incumbents who had been appointed by the opposition.

<sup>1</sup> *American Commonwealth*, 1910 ed., vol. ii, p. 140.

## PUBLIC PERSONNEL ADMINISTRATION

Offices and jobs in the civil service were regarded as patronage, to be used in building up and strengthening the party machine. Men were chosen for public office or employment primarily with regard to their usefulness to the party organization, and only incidentally with regard to their competence to carry on the business of the government.

Throughout this period vigorous protests were made from time to time against the system, but they produced no substantial results until the last two decades of the nineteenth century.

During this period the same system dominated the various state and municipal services. Public employment was conducted very largely in the interest of the party organization rather than in the interest of the people as a whole or of the great body of public employees.

**Recent Conditions.** The third period extends from 1883 to the present. During this period the more flagrant abuses of the spoils system have been mitigated, and considerable progress in the administration of public employment has been achieved.

The national government, as well as the various state and municipal governments, had grown greatly in size and complexity. The number of national employees had increased to about 100,000 in 1880, and the ordinary revenues had increased from \$10,000,000 in 1800 to \$333,000,000 in 1880. Considered by itself the efficient administration of the growing and intricate functions of government made imperative the introduction of a definite and business-like system, designed to regulate the selection and retention of public employees.

But there was another factor. The people had begun to realize that the spoils system was a grave danger to



## HISTORY OF PUBLIC EMPLOYMENT

the integrity of the political life of the country. A publication issued in 1882 by the National Civil Service Reform Association stated: "The country can be extravagant and spend a third more than is really necessary for transacting its business without serious danger, although a wise nation would not tolerate such waste. But it cannot maintain, without great and constant peril, a system which converts the enormous and extravagant expenditure for public salaries into a political bribery held at the disposition of a few men in every state." The people finally revolted against the spoils system, not primarily because it was wasteful and inefficient, but because it represented a grave danger to the free expression of the popular will through elections.

The movement for civil service reform resulted in the passage of the national Civil Service Act in 1883. This was a substantial, though not a complete, victory for the merit principle. The law provided for a national Civil Service Commission and it placed under the jurisdiction of that commission all the positions of the so-called classified service. It also provided that appointment to the classified service should be made, so far as practicable, on the basis of open competitive examination and that national employees should be free from the necessity—which had prevailed up to that time—of contributing to campaign funds and of rendering political services.

Following the passage of this act the reform movement achieved important successes in various state and municipal governments. A civil service commission, with powers similar to those of the national commission, was established in New York State in 1883. Similar commissions have been established in Illinois, Ohio,

## PUBLIC PERSONNEL ADMINISTRATION

Massachusetts, New Jersey, California, Wisconsin, Kansas, Connecticut, Colorado, and Maryland. Civil service commissions have also been established in about 250 municipal governments. Among the larger cities in which public employment is administered by civil service commissions are New York, Chicago, San Francisco, Philadelphia, Cleveland, Pittsburgh, Detroit, Buffalo, Milwaukee, Cincinnati, New Orleans, Los Angeles, Minneapolis, Seattle, Rochester, St. Paul, Denver, Portland (Ore.), Syracuse, and Albany. Some counties, notably Los Angeles County, Cal., Cook County, Ill., and Milwaukee County, Wis., have also established civil service commissions.

In some of the local jurisdictions named above, the administration of public employment is handled to-day more strictly in accordance with the merit principle and more effectively than in the national government.

The movement for civil service reform, however, has not received recognition in all state and municipal jurisdictions. It has been extended to less than one-fourth of the state governments, and it has not been adopted in some of the larger cities. Furthermore, even in jurisdictions in which the merit system is nominally in force, it is not applied in selecting the incumbents of all civil service positions. In the national service many positions are still "unclassified," or, if classified, they are filled without regard to examination requirements. In the state and city services a similar condition is found. The reform movement has not completely substituted the merit system for the spoils system. It has not entirely attained its objective.

And the original civil service reform movement set for itself an essentially incomplete objective. It was interested chiefly in the reform of the political conditions

## HISTORY OF PUBLIC EMPLOYMENT

which surround public employment. It aimed to impose definite checks and restrictions on administrative authority over appointment and removal. In imposing such restrictions, this movement has accomplished results which are a necessary preliminary to a sound administration of public employment, but it has failed in large part to supplement its negative program with a strong positive program. It has not been interested to any marked extent in the improvement of the internal conditions of the public service as they affect the welfare of the individual employee or the development of a competent and efficient civil service personnel. Nor has it responded to the complex and growing requirements of the public service by formulating an adequately positive and constructive employment program.

A modern system of public employment presents a problem of great complexity. The national service includes approximately 745,000 employees, representing an annual expenditure of \$700,000,000 or about 40 per cent of the operative cost of government. These employees are engaged in several thousand distinct classes of employment; in various clerical services, inspectional, customs and revenue services, skilled and unskilled labor services, and scientific and professional services. Apart from the work which is peculiar to the needs of the government, they are engaged in practically every kind of activity found in modern enterprise.

The states and larger cities present a similarly complex employment problem. A representative state or city government is a great enterprise, carrying on its payroll thousands of workers engaged in a great variety of occupations. New York State has, in its civil service, approximately 22,000 employees; Pennsylvania, approximately 15,000; and Illinois, approxi-

## PUBLIC PERSONNEL ADMINISTRATION

mately 7,000. The City of New York, including the teaching personnel, has about 100,000 public employees,<sup>2</sup> representing an annual payroll of approximately \$130,000,000.

In response to the complex problem presented in a modern system of public employment, the so-called "standardization" movement came into existence in the first decade of this century. This movement is essentially a response to the demand for a business-like and efficient administration of our national, state, and city governments. It is, in a sense, an outgrowth of the earlier civil service reform movement, but it places a new and positive emphasis on the need of discovering concrete ways and means of improving the internal conditions of public employment. It has laid particular stress on the establishment of scientific classification of public employments, and on the establishment of adequate and uniform rates of compensation. This movement has accomplished results of considerable value in New York State, Massachusetts, New Jersey, Illinois, Ohio, and Wisconsin, and in New York City, Chicago, Philadelphia, Cleveland, Rochester, Denver, and other jurisdictions; and it gives promise of valuable results in the national government. It has only a limited record of actual achievement to its credit to date, but it contains the promise of future constructive achievement of great significance.

<sup>2</sup> The number of employees under the jurisdiction of the New York Municipal Civil Service Commission is about 53,000.

## CHAPTER II

### A PUBLIC EMPLOYMENT PROGRAM

**The Need of a Constructive Program.** The present state of public employment in the national government, and in the various state and local governments, is unsatisfactory to the public at large, to public employees, and to responsible administrative officers. The public has suffered from impaired and ineffective service. Public employees have suffered from inadequate rates of pay and other unsatisfactory conditions of public employment. Administrative officers have found it difficult to recruit and retain a competent government personnel. This has been especially marked in the postal service and in the teaching service of our local governments.

A commission appointed by Congress in March, 1919, has recently issued an instructive report on conditions in the service at Washington. This report contains the following statement:<sup>1</sup>

The Commission finds that there is serious discontent, accompanied by an excessive turnover and loss, among the best trained and most efficient employees; that the morale of the personnel has been impaired; that the national service has become unattractive to a desirable type of technical employee; and that the Government has put itself in the position of wasting funds on the one hand and doing serious injustice to individuals on the other. . . .

<sup>1</sup> Report of the Congressional Joint Commission on Reclassification of Salaries, 1920, part I, p. 54. This document will be referred to hereafter as the Report of the Congressional Joint Commission.

## PUBLIC PERSONNEL ADMINISTRATION

The so-called labor or personnel turnover is now generally regarded as an index to the state of mind prevailing among the employees of any establishment; a large turnover being indicative of unrest and general demoralization. In general terms, the annual turnover may be computed by dividing the number of separations from the establishment in question by the average number of employees carried on the payroll. The report of the Congressional Joint Commission brings out the fact that the turnover in the service at Washington was 5.5 per cent during the year 1914; that it rose to 11 per cent during 1916; that it reached a maximum of 40 per cent during 1919; and that it receded to 33 per cent during the first half of the fiscal year 1919-1920. A personnel turnover of 33 per cent—figured, as it is in this case, without taking account of the separations due to reductions in force—is abnormally high, and is indicative of a serious state of unrest and impaired efficiency. This report declares:<sup>2</sup>

The most conspicuous advances in the rate of turnover have been among scientific-technical employees. In six bureaus for which complete information is available and comprising a total of 2,765 employees, the turnover among scientific-technical employees has advanced from 12 per cent in 1916 to 69 per cent in 1919. The increase in the rate of turnover of clerks in the same bureaus and comprehending approximately the same numbers, was from 12 per cent in 1916 to 29 per cent in 1919. In other words, the rate among scientific employees advanced over three times as fast as among clerical employees. In some bureaus the conditions are even more striking. In the Bureau of Standards, for example, the rate of increase among scientific employees has jumped from 28 per cent in 1916 to 161 per cent in 1919.

The high rate of turnover among scientific and technical employees becomes especially significant when

<sup>2</sup> *Ibid.*, p. 55.

## A PUBLIC EMPLOYMENT PROGRAM

consideration is had of the fact that these employees constitute, in large measure, the directing force of the government.

Similar conditions of excessive turnover and impaired morale and efficiency exist, in only a slightly less degree, in the various state and municipal governments.

Ultimately the people themselves must take the initiative in bringing about any marked improvement of government employment. A government occupies a unique position. It is not in the position of a private commercial enterprise. It is not required to make a profit in competition with other similar enterprises. It may be extravagant and inefficient without going into bankruptcy. It is not required automatically, by the forces of competition, to be economical and efficient. A government must indeed compete in the "labor market" for some of the services which it requires, but it is not compelled by the forces of competition to recruit and maintain an efficient personnel. Moreover, it is not required to pay a liberal or even an adequate wage to its personnel, because many groups of public employees can find no immediate outlet for their highly specialized training in outside employment. A government operates, in many respects, outside the sphere of ordinary economic forces. Only the people themselves can compel a government, on the one hand, to maintain an efficient personnel, and, on the other, to pay its personnel a fair and adequate wage.

There is every indication that the people are now in a mood to demand economy and efficiency in public employment as in other matters of government. The high taxes following the war have made economy imperative. The achievements during the war period

## PUBLIC PERSONNEL ADMINISTRATION

have raised somewhat our standards of efficiency. At the same time, there is a growing recognition of the fact that efficient performance on the part of public employees must be rewarded by equitable terms and conditions of employment.

The problem of public employment is closely connected with other problems of government. To maintain a truly efficient government personnel it is necessary to devise and maintain efficient government machinery. Commenting on the national government, Franklin D. Roosevelt, former Assistant Secretary of the Navy, recently said:

There exists an overlapping and duplication of administrative work in the different departments. New activities have grown up in or been assigned to departments with little regard to good business methods. A large part of this work should be reassigned, and much of it now scattered between different departments should be consolidated in one. According to data recently collected, 25 federal agencies do mapping work, 30 make chemical investigations, 27 have authority to build hydraulic works, 22 to make engineering researches, etc.

The Congressional Joint Commission observed a number of opportunities for the improvement of government machinery. It found:<sup>3</sup>

Complex, indefinite, poorly designed organization; inadequate provisions for administrative control and supervision; apparent duplication between departments and within departments; conflict of authority and overlapping of functions; overmanning; unstandardized procedure; unnecessary records; and other unbusiness-like methods.

The result of the unbusiness-like methods that obtain in the national government has also been strikingly characterized by Franklin K. Lane, former Secretary of the Interior:

<sup>3</sup> *Ibid.*, p. 110.



## A PUBLIC EMPLOYMENT PROGRAM

Every one seems to be afraid of every one. The self-protective sense is developed abnormally, the creative sense atrophies. Trust, confidence, enthusiasm—these simple virtues of all great business—are the ones most lacking in government organization. We have so many checks and brakes upon our work that our progress does not keep pace with the nation's requirements.

The lack of organization obtains particularly in the national government. In some of the state and city governments, the situation is not so backward. On the whole, however, the organization of governmental machinery in this country lags considerably behind accomplishments in the field of business and industry, and well behind what could be accomplished by the application of good will and intelligence in the field of government.

The improvement of government personnel cannot make headway apart from the improvement of governmental machinery. It must be accompanied by the consolidation of services, the elimination of unnecessary positions, direct and effective methods of doing work and of transacting business, a budget system as the basis of all appropriations, and competent and inspiring leadership.

But the improvement of government personnel constitutes to a certain extent a separate and peculiar problem. It requires for its accomplishment the adoption of specific measures of employment policy and administration. Consideration will now be given to some of the more important measures that may be expected to lead to an improvement of the present state of public employment.

**Extension of the Merit System.** It is a basic requirement of progress in public employment that the merit system should be extended. The merit system is the

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underlying idea of civil service legislation. It aims to eliminate personal favoritism and political preference, and to establish impartiality in the conduct of public employment. It accomplishes this end, in the main, by throwing safeguards around the appointment, promotion, and removal of public employees. It requires that appointment and promotion shall be made on the basis of examination, usually a competitive examination, though in some circumstances a qualifying or non-competitive examination. It also requires that removal shall be made only for *bona fide* reasons, and after the employee shall have been given a fair hearing. The merit system thus insures the use of fair and effective methods in the selection and subsequent promotion of public employees, and it affords to public employees reasonable security of tenure.

The merit system, as has been indicated, was introduced in this country in 1883. It is a necessary means of combating the waste, inefficiency, and political corruption which attend the uncurbed operation of the spoils system. It does not afford a solution, however, of all the problems that arise in the administration of government employment, but rather clears the ground of the grosser political obstructions that stand in the way of a proper solution of these problems.

This system, which is nominally in force in the national government and in a number of state and municipal governments, should be extended and applied in a thorough-going manner.

In discussing the feasibility of a thorough application of the merit system to all, or practically all, of the positions in the executive branch of a government, a distinction is commonly drawn between political and non-political positions. Political positions are commonly

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defined as policy-determining. In the executive branch of the national government they include the Presidency, the Cabinet offices, the headships of the bureaus, etc. In the state governments, they include the governorship, the headships of the principal departments, etc. Non-political positions are defined as those which do not involve policy-making. These positions include the great bulk of employments in the executive branch of the national, state, and municipal governments. They involve the duty of executing the policy or carrying out the work which has been decided upon by the responsible administrative heads of the government.

The merit system, as a method of selection, is not applicable to positions of a truly policy-determining character. The incumbents of these positions should be, above all things, responsive to the will of the people. Some of these officers are, and should be, chosen by election. Some of them, who are called upon to interpret or aid in determining fundamental matters of policy are, and well may be, chosen by executive appointment. These officers cannot well be selected according to the merit system, on the basis of their standing in an examination.

But the merit system is applicable to a great many more positions in the executive branch of our national, state, and municipal governments than it has ever been applied to. It should be applied to many of the positions that are commonly held to be political, but which, in fact, are not political or policy-determining in character. By a liberal use of the short ballot, a number of these positions should be eliminated from the list of offices now filled by election, and should be placed under civil service regulations. A number of them should be eliminated from the list of offices now filled by executive

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appointment, and should be filled according to the examination requirements of the merit system. Moreover, the merit system should be applied to all, or practically all, of those public employments which are not, and which have never been seriously held to be, policy-determining in character. It should be applied to the great mass of government positions involving clerical and commercial work, manual labor, public safety, and scientific and professional work.

Two lines of action are required to effect a thoroughgoing application of the merit principle to the positions of the executive branch of a government.

Action must be taken (in the case of the national service by the President, and in the case of state and local services by legislative bodies) placing practically all of the positions of the executive branch of the government in question, except those of a *bona fide* policy-determining character, in the so-called "classified" service and under the jurisdiction of the civil service commission.

Action must be taken by civil service commissions that will insure that the positions placed under their jurisdiction are handled according to the letter and spirit of the merit principle. At the present time civil service commissions frequently "exempt" a number of positions from examination requirements. This practice is sometimes justified by the difficulty of holding suitable examinations; more frequently it lacks any justification. Civil service commissions should limit the number of "exempt" positions to the lowest figure possible. They should endeavor to devise suitable examinations for entrance and promotion to all positions in the classified service; and they should, wherever practicable, throw these examinations open to competition.

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### **Establishment of Adequate and Uniform Compensation.**

The rates of pay offered in public employment at the present time are not, generally speaking, proper or satisfactory. This fact is reflected in the difficulty which administrative officers have in recruiting suitable workers for the public service, in retaining competent workers who have acquired valuable training through years of experience, in properly administering advancement and promotion, and generally in maintaining the morale and efficiency of the public service.

The rates of compensation offered to public employees should be both uniform and adequate. "Equal pay for equal work" would seem to be an obvious principle of fair dealing and effective management. In the ordinary run of private business, this principle is put into practice, but not in public employment. In government service, what is substantially the same kind of work is frequently rewarded by different rates of pay within a single department, and by different and widely varying rates of pay in the several departments. Thus, a "junior examiner" in the Interior Department is paid at the average rate of \$1,490, while the compensation attached to essentially similar positions in the Treasury Department is at the average rate of \$1,744. In state and city governments glaring inequalities of pay for similar work have existed, and, to a considerable extent, continue to exist. Inequality of pay for similar work has been a chief source of difficulty in public employment in this country. It has made impossible a business-like administration of the public service; and it has had a decidedly destructive effect on the morale and working efficiency of the public employees themselves.

Rates of pay should be not only uniform, but also fair and adequate. Generally speaking, the pay of

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public employees at the present time is less than that offered for similar work in the field of private industry and business. The rates of pay for unskilled labor, and for the simpler kinds of clerical work, are perhaps as high as those which obtain for similar work in private employment. On the whole, however, the rates of pay in public employment are considerably lower than those which prevail for similar work in private employment, where a direct comparison is possible, and they are often strikingly inadequate in view of present economic conditions. This situation is due largely to the tendency of the rates of pay in public employment to remain stationary over long periods of time. In the 26 years from 1893 to 1919, the average pay of national employees in Washington increased by about 40 per cent. This increase is readily seen to be inadequate when it is compared with the increase in the retail price of food during the same period, estimated at approximately 159 per cent.

The rates of pay offered public employees should be increased. Some individual employees may not deserve an increase. Some classes of employees may not deserve as large an increase as do other classes of employees. But there can be no doubt that in most systems of public employment the rates of compensation should receive a general upward revision.

Salaries in the classified service of our national, state, and city governments range from about \$1,000 to about \$5,000 a year, with very few at or near the latter figure. The range of salaries should be extended, by offering better rates of pay for work in the higher technical and administrative positions, if the higher positions in the public service are to be made attractive to men of suitable training and ability.

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A so-called "standardization" of public employment is concerned primarily with the task of establishing uniform and equitable rates of compensation. To accomplish this task it is necessary to analyze thoroughly the great variety of work done in a system of public employment, and to group this work in fundamental classes, each one of which is made the subject of similar treatment in regard to pay and other conditions of employment.<sup>4</sup>

**Establishment of a Retirement System.** A system that provides for the retirement of disabled and superannuated employees, with adequate benefits or pensions, is an essential part of any constructive program of public employment.

Retirement systems are generally in force for the teaching personnel of local governments. They are frequently in force for the personnel of fire and police departments. A retirement law, applying to all national service employees, was passed by Congress in May, 1920. Most state and local governments, however, have failed to make adequate provision for the systematic retirement of employees.

A system of retirement offers obvious advantages to the employees concerned. To workers already in the public service, the retirement benefit, indeed, represents a kind of gratuity. To those who enter the service after the adoption of a retirement system, the benefit represents a part of the compensation attached to the positions in question.

An adequate system of retirement aids in both the recruiting and retention of a desirable type of employee, and it permits the systematic elimination of the aged or disabled without working undue hardship, and the

<sup>4</sup> See Chapter IV.

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filling of the vacancies thus created by younger and more capable employees. It thus affords a means of increasing both the efficiency and morals of public employment.

**Multiplying Opportunities for Promotion.** Next to more adequate basic compensation, perhaps the chief need of the public service is greater opportunity for advancement and promotion. Compared to private enterprise, the public service offers little opportunity for advancement. To a certain extent this circumstance is inherent in the nature of public employment; but to a certain extent it can be modified. Systems of public employment should be so organized and administered as to offer greater opportunities for advancement and promotion than they offer to-day. This must be done if capable workers are to be attracted and retained and a high degree of efficiency attained in public employment.

A system of public employment should insure that an employee who is rendering efficient service may look forward with reasonable certainty to periodic salary increases. Such increases should be granted on the basis of length of service and the attainment of fair standards of efficiency, and they should be distinguished from promotions proper, or changes from a lower to a higher class of position. A plan which provides for such periodic salary increases will tend to overcome the deadening effect of the stationary rates of pay generally in force in public employment.

A system of public employment should also offer the largest possible field for promotion, in the sense of appointment to positions of higher rank, involving new duties as well as increased compensation.

The merit principle has an important bearing on this problem. A thorough application of the merit principle



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to all of the non-elective positions of the executive branch of a government would mean a considerable extension of the opportunity for promotion. It would mean that the more ambitious and capable members of the public service might reasonably aspire to many of the higher positions which are now "unclassified," or are treated by civil service commissions as "exempt" from examination requirements.

Greater freedom of promotion from positions in one department to higher positions in another would also enlarge materially the opportunity for promotion in government employment. At the present time promotion from one department to another is usually restricted by artificial rules and regulations. Greater freedom of movement between departments is essential to an improvement of the system of promotion. Greater freedom of transfer from one department to another would also be of considerable value. A transfer is not a promotion; but it may be a means to individual self-development and to subsequent promotion. At the present time transfer from one department to another is frequently hedged about by artificial restrictions. Greater freedom in this matter would go far toward improving the opportunity for advancement.

An adequate retirement system is also of considerable significance in this connection. Where no retirement system is in force, employees frequently remain in the service long after they have ceased to give an adequate return for the compensation which they receive. This situation implies waste and inefficiency; it also implies that opportunities for advancement are seriously restricted. An adequate scheme of retirement, with provision for old age and disability benefits, enables a government to retire its employees systematically, and

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thus to open up to the younger and more capable members of the service greater opportunities for advancement and promotion.

The training of employees for greater usefulness in the public service has a bearing on the problem of promotion. Private employers generally recognize the value of providing special training for their employees, but comparatively little has been done to provide facilities for training workers for greater usefulness in government employment. Such training facilities should be established. Profiting by the experience of private employers, governments should realize that opportunities for promotion must be supplemented by suitable facilities for preparation for promotion, and that the encouragement of, and provision for, training for increased usefulness is one of the important means of enlarging the opportunity for advancement and promotion in public employment. It is also important that the vacancies that occur in the higher grades or classes of the public service be filled according to methods that are at once fair and effective.

Generally speaking, promotions in the public service have not been made according to a strict conception of the letter and spirit of the merit principle. Promotions and salary increases, particularly in the national service, have often been made in response to personal or political influence. In order to insure that the public service shall offer an opportunity for an honorable, useful, and satisfactory career, promotions as well as original appointments should be administered in accordance with the merit principle.

**Extension of the Functions of the Civil Service Commission.** In large part the improvement of public employment must be brought about directly through the

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government agency known as the civil service commission. In the past civil service commissions have performed a comparatively limited function. In the main they have done little more than attempt to administer recruiting for government positions according to the requirements of the merit principle.

In the field of private enterprise, the employment or personnel department has a broad function, which includes not only the recruiting of employees but also the supervision of their retention, training, and development, and in some cases the determination of the basic conditions of employment. In order to meet fully the problem presented by a modern system of public employment, the civil service commission should exercise a similarly broad function. It should act as the centralized "employment department" of the government in question and, within limits, should determine and carry out a broad and constructive program of public employment.

Civil service commissions have been hampered in their work by the lack of scientific classifications of positions and fair and uniform standards of compensation. In state and local governments, civil service commissions should be given the power to classify positions according to a business-like method and to recommend corresponding schedules of compensation. In the national government, the civil service commission as at present constituted, may not be the logical agency to undertake initially the whole of such a program. In this case a special agency may be needed. Generally speaking, however, civil service commissions should be empowered to introduce order in the basic structure of public employment by classifying the positions under their jurisdiction according to a business-like principle

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and by recommending to the appropriating bodies, fair and uniform salary standards.

Moreover, civil service commissions should exercise a broad power of supervision over all the manifold phases of public employment. Their work should not stop with the recruiting of public employees. They should regulate the retention and promotion of employees, and the maintenance of reasonable standards of efficiency in public employment. They should also supervise the training of public employees, and the maintenance of healthful and attractive working conditions.

The duty indicated is not that of civil service commissions alone. The responsible heads of government departments, whether chosen by election or appointment, must discharge a corresponding function of personal administration. They must recognize that "personnel" constitutes a problem separate and distinct from that of operation, and one worthy of the most serious attention. In large government departments, personnel managers are needed to handle the special aspects of this problem, and should act in a measure as mediating links between the departments and the civil service commission. Moreover, in large departments, personnel committees should be formed, representing partly the administrative heads and partly the rank and file of subordinate employees. All of these agents and agencies—department heads, personnel managers, representative committees, and civil service commissions—must work together in a hearty spirit of coöperation if we are to see the formulation and execution of a progressive program of civil service employment.

The civil service commission, therefore, is only one of several instrumentalities through which the improve-

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ment of public employment must be accomplished. It is, however, the central one of these instrumentalities, from which leadership in this matter must be expected to come.

**Creation of Esteem for the Public Service.** There remains an additional means of improving the public service which is not entirely under official control, the creation of greater popular esteem for the public servant and for the public service. It is a well known fact that the civil service, generally speaking, does not enjoy as high a degree of popular esteem in this country, as does the civil service of some of the countries of Europe, notably Great Britain and Germany. This may be due to the faults of the civil service, to an unappreciative attitude on the part of the public, or to other factors of our history or national psychology. Whatever the explanation, it is unfortunately the fact.

A new popular attitude is essential to any marked improvement of the civil service in this country. It must accompany the much needed reform in the rates of pay and other basic conditions of public employment. But it will have an additional effect. A genuine popular regard for the public service would create an "atmosphere" in which the service might be expected to develop a new *esprit de corps*, and to become at once more efficient and more attractive to capable workers.

Such a popular attitude toward the civil service will depend on a number of conditions. The service must be made exclusive, in the sense that only properly qualified persons are admitted to it, especially in the higher positions. The service, too, must offer reasonable rates of compensation, otherwise it will not long enjoy a high place in popular regard. Most important of all, perhaps, the civil service must have a reputation

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for efficiency. In order to supply the last named condition, the civil service must attain a high degree of efficiency in fact as well as in general reputation. The public service can reach a high degree of effectiveness only through definite improvements in governmental methods and machinery as well as in governmental personnel. To a certain extent, however, it can be made more effective through measures that will insure a better selection of government personnel and the stimulation of effort and productivity. Such increased effectiveness of the public service must be the basic element in the creation of greater popular esteem.

But in order to establish a popular reputation for efficiency the public service must not only be efficient, but must be generally known to be efficient. At the present time, the achievements of the permanent personnel of national, state, and city governments are insufficiently recognized. The average citizen has a very inadequate idea of the size and ramifications of the business carried on by our governments, and the high degree of effectiveness with which, on the whole, it is accomplished. The public service stands greatly in need of a campaign of advertising and popular education. It should be more generally presented to the public in the light, not only of its shortcomings, but also of its substantial and indubitable accomplishments.

A higher degree of popular regard for the public service, reflecting a more appreciative understanding of actual achievement on the part of the public at large, will have a most beneficial effect on public employment. It will lead to better basic terms and conditions of employment and also to an environment in which public employment may be expected to attain the maximum degree of effectiveness.

## CHAPTER III

### THE CIVIL SERVICE COMMISSION

**Legal Status of a Civil Service Commission.** A civil service commission is an agency created for the purpose of enforcing civil service legislation. Such an agency may be created by legislative act or by constitutional or charter provision. The national Civil Service Commission was authorized in 1883 by act of Congress. The state commissions have usually been authorized by action of the state legislatures, though the Ohio and Colorado commissions were created by special provisions in the state constitutions. Some of the municipal civil service commissions have been created directly by the civil service laws enacted by the respective state legislatures. Others have been created by special provision in city charters. Thus, civil service commissions exist in Philadelphia and Pittsburgh, though there is no civil service commission in charge of public employment in the State of Pennsylvania.

**Selection of a Civil Service Commission.** A civil service commission commonly consists of three members. The selection of properly qualified persons for membership in the commission is a matter of crucial importance in determining the success of civil service administration. In practice civil service commissioners, with few exceptions, are appointed by the executive head of the government in question. National civil service commissioners are appointed by the President. State civil service commissioners are appointed by the governor, and municipal civil service commissioners are usually

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appointed by the mayor. They may also be removed by the executive head of the government.

It is sometimes urged that civil service commissioners be chosen on the basis of competitive examination. It has been argued that "civil service commissionerships should themselves be classified and should be filled only after competitive test, the candidates standing highest on the list to be certified and appointed. . . . It is anomalous and indefensible to allow the highest civil service office itself to be and remain a spoils position. . . . A seat at the civil service board is not a political policy making position. It is, therefore, no part of the governor's or the mayor's administration."<sup>1</sup> This suggestion is of doubtful feasibility under existing conditions. It overlooks the difficulty of selecting officers of the qualifications required in civil service commissioners on the basis of examination as well as the fact that the civil service commission must be responsible in a high degree to the executive authority which is responsible for the results achieved in the administration of the government in question.

Civil service commissioners, however, should be chosen with regard to certain definite principles. They should be chosen with regard to both integrity and special ability. Civil service laws generally provide that not more than two of the three commissioners shall be "adherents of the same political party." Some laws provide that persons shall be chosen as civil service commissioners who are "known to favor the principle of merit and efficiency in the public service." The continued enlightenment of public opinion concerning the vital importance of keeping the civil service "out of

<sup>1</sup> Draft of a Standard Civil Service Law, National Assembly of Civil Service Commissions, 1916, p. 5.



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politics" and of administering it on a business-like basis is about the only practical means of insuring the enforcement of this salutary provision. Moreover, men should be chosen as civil service commissioners who possess special qualifications and ability. Good intentions alone are not sufficient to insure an effective administration of public employment. The work of a civil service commission touches a great variety of matters, lying in the fields of law, business, industry, engineering, medicine, and especially in the newly developed field of employment management. A commission consisting of three members may well contain men of widely different training and experience in the fields indicated. It should include, in any case, at least one member who is thoroughly acquainted with the point of view and methods of the rapidly developing profession of employment or personnel administration.

The term of office for which civil service commissioners are appointed varies from two to six years. The terms of the several members of a commission are frequently so defined as to overlap. In view of the duties involved, the legal term of office of a civil service commissioner should be reasonably long. It may well be set at six years. A civil service commissioner, in order to discharge effectively the duties of his office, must have a knowledge of a number of technical matters peculiar to a system of public employment. He can usually acquire this knowledge only after long experience. As a matter of fact, civil service commissioners have frequently not remained in office long enough to acquire a knowledge of the conditions and needs of the service and to make their knowledge effective, and the circumstance has been one of the chief hindrances to progress in civil service administration.

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It goes without saying that not only should the term of office be reasonably long, but the tenure of office reasonably secure. The most immediate means of insuring permanency of tenure during efficient service; and, as a corollary, removal for incompetency, is development of a public opinion that appreciates the importance of a proper handling of public employment.

The pay of members of civil service commissions is a matter of considerable practical importance. Hitherto, civil service commissioners have frequently received no pay at all, or pay entirely inadequate. While many men have in the past rendered valuable service—usually indeed only part-time service—for little or no pay, the time has come when civil service commissioners should be given compensation proportionate to the importance of their duties. At the present time members of the United States Civil Service Commission receive a salary of \$5,000. The report of the Congressional Joint Commission recommends that the salary be increased to \$7,500. The civil service law recently passed in Maryland provides that the commissioner (there being but one) shall receive a salary of \$5,000. The question of adequate pay is closely connected with that of the amount of time which civil service commissioners give to their duties. In the smaller governments there is no occasion for full-time service on the part of members of the civil service commission, or at least on the part of all members of the commission, but in the state and larger city governments the members of the civil service commission may well be expected to give full-time service in handling the problems of public employment. Where full-time service is expected, civil service commissioners should, as a general rule, receive pay equal to that of the head of a state or city department.

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**Quasi-legislative Functions.** The duties of a civil service commission fall into three main categories. They may be designated as quasi-legislative, quasi-judicial, and administrative or executive.

The quasi-legislative function of a civil service commission includes the formulation of rules and regulations governing the various phases of public employment. The law authorizing a civil service commission usually lays down the broad principles to be followed in working out an employment program; but it does not provide a sufficiently definite basis for administrative action. Civil service commissions, therefore, are empowered to determine the specific conditions which shall govern public employment. They accordingly prescribe specific rules governing examinations, appointments, records of individual efficiency, transfers, reinstatements, promotions, removals, and other phases of public employment. These rules have "the force and effect of law."

The quasi-legislative activity of a civil service commission includes also the important function of "classifying" the positions under its jurisdiction. A civil service commission may "classify" positions in several different senses of that word. Since the earliest days of civil service legislation, commissions have been authorized to classify positions with regard to the practicability of filling them on the basis of examination. The civil service law usually states that "appointments and promotions shall be made according to merit and fitness, to be ascertained, as far as practicable, by examinations which, as far as practicable, shall be competitive." The law imposes upon civil service commissions the task of determining which positions within the classified service may practicably be filled, first, on

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the basis of examination, and, second, on the basis of competitive examination.

Civil service commissions have usually classified the positions under their control into four main groups. They have set up (1) an exempt class, (2) a non-competitive class, (3) a competitive class, and (4) a labor class. An exempt position, usually a position of considerable importance and carrying a comparatively high salary, is one which it is deemed impracticable to fill on the basis of examination. It is, therefore, placed voluntarily outside the control of the commission. An exempt position is filled and vacated at the pleasure of the appointing officer, without regard to civil service requirements. A non-competitive position is one which it is deemed impracticable to fill on the basis of an open competitive examination, but which nevertheless is filled only after the appointee has passed a so-called qualifying examination. A competitive position is one which is filled on the basis of an open competitive examination. Labor positions, except in the case of skilled trades, are classed as falling outside examination requirements.

There can be no doubt that civil service commissions have sometimes abused the power of classifying the positions under their jurisdiction. It was found in New York State in 1916 that

1,616 positions within the so-called classified service of the State administrative departments and other offices are filled without examination or other competitive civil service requirements. They are termed "exempt positions." Many of these are positions of responsibility requiring such technique and training that the highest degree of efficiency is secured only where the incumbents have had appropriate training before appointment and are assured permanence of tenure after appointment to the service. Appointment without competition does not necessarily prevent the selection of competent em-

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ployees. It has, in fact, in many instances, secured well qualified persons for the State service. But it does not insure the selection of competent employees and almost invariably leads to retirement before the best results are obtained. This is responsible for needlessly recurring waste in the management of the State's business.<sup>2</sup>

In order to forestall this condition, the civil service law of Illinois does not grant to the commissions in that state the power to classify positions as exempt or as non-competitive. Mr. William B. Moulton, President of the Illinois Civil Service Commission, has written as follows:

Our laws make but few exemptions and these generally are limited to heads of principal departments. The commissions have no power to classify as exempt or non-competitive any position in the service. The Legislature did that once for all in the statute. . . . After six years as an administrator of this law, I have yet to find any reason based on the alleged confidential nature or on the impracticability of competition which should exempt a position. In administering the law we are absolutely relieved of all the troubles of the New York Commission, for we cannot exempt a single position.

This solution of the problem is, however, too drastic to be applied generally. Civil service commissions in some circumstances may properly exempt certain positions, whether to meet exigencies of the service, to fill certain positions for which examinations are not readily devised and conducted, or to allow a reasonable degree of freedom to responsible administrative officers in the making of appointments.

Some civil service commissions have been authorized to "classify" positions in a different sense, according to

<sup>2</sup> Report of New York Senate Committee on Civil Service, 1916, p. xxiv.

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the duties and qualifications required in them, and to recommend corresponding salary standards. In some cases civil service commissions have carried on this work independently. In some of the larger jurisdictions they have undertaken it in coöperation with other official or unofficial agencies. As has been indicated, all civil service commissions should be given broad powers over the classification of positions, according to the duties and qualifications required. Only where they have such powers are they in a position to work out a constructive plan of public employment.

**Quasi-judicial Functions.** Civil service commissions are required to exercise a number of functions of a quasi-judicial nature. They hear appeals from ratings given on examinations, whether for original entrance to the service or for promotion. As there is inevitably a certain element of error in the rating of examinations, a review of ratings is sometimes necessary to insure justice to individual examinees. It also serves as a useful check on the work being done by the examining and rating staff of the commission.

Some civil service commissions decide matters pertaining to suspension and dismissal. They hear and determine the merits of any charges brought against public employees on grounds of incompetence, insubordination, or misconduct, whether those charges are initiated within or outside the civil service. Few civil service commissions, however, have the power of deciding cases of dismissal. In perhaps 80 per cent of the civil service jurisdictions throughout the country, administrative officers have the power to remove their subordinate employees, either absolutely or subject to certain restrictions.

The appointing officer should have the power to re-

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move, suspend, or lay off his subordinates. If he does not have this power, it is difficult to see how he can enforce discipline and maintain a high standard of efficiency in the organization for which he is responsible. At the same time, an administrative officer in making removals should be subject to definite restrictions. Civil service laws commonly provide that he shall not remove public employees because of religious or political affiliations, but only for *bona fide* reasons of misconduct or incompetency. In order to make effective this provision, the administrative officer should be required to furnish the employee whom he wishes to remove, a written statement of the reasons for his action, and to give the employee an opportunity to reply in writing. He should also be required to file with the civil service commission a copy of the reasons for his action and a copy of the reply of the employee.

Experience shows that where the civil service system is once well established administrative officers do not ordinarily abuse the power of removal. The motive for making an unjust removal would be in most cases the desire to put in the place of the employee removed a person more acceptable on political or similar grounds. But an administrative officer has little incentive for making an unjust removal if entrance to the civil service is safeguarded by a careful enforcement of the merit principle.

Civil service commissions have the further duty of hearing and adjusting complaints made by public employees. Hitherto, they have confined their work in this connection mainly to the hearing of complaints of a minor character concerning rules and regulations. In the future it is not improbable that they may be able to discharge a more important function in this connection. Judging by experience in the industrial world, it is not

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unlikely that civil service commissions will be able to serve a useful purpose by facilitating a freer expression of the desires of public employees, and by mediating between the government and its employees in the adjustment of questions concerning terms and conditions of employment.

**Executive Functions.** A civil service commission is charged primarily with the duty of selecting public employees on the basis of merit and fitness. In carrying out this duty, it must devise suitable examinations, study the sources from which candidates may be drawn, advertise the examinations widely and conduct and rate the examinations. The selection of candidates for the civil service represents the largest part of the administrative work of a civil service commission.

After the candidates for a given class of position have been examined and rated, the commission prepares lists of eligibles. When an administrative officer submits to the commission a requisition for a person to fill a position of the class in question, the commission certifies to him the names of those standing highest on the list of eligibles. The usual rule is that the names of the three persons standing highest on the eligible list shall be submitted to the administrative officer. Of the three persons certified, the administrative officer selects one for appointment.

Civil service laws usually provide that no public employee shall work "out of grade," that is, in a position other than the one to which he has been appointed and for which he is receiving compensation. In order to secure the enforcement of this provision, civil service commissions are often required to audit the payrolls of the various government departments. Thus, the civil service commission exercises general supervision over



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the assignment of public employees. Where conditions permit, this supervision should be so exercised as to allow responsible administrative heads a reasonable degree of freedom in making minor changes in the assignment of the personnel of their departments.

Civil service laws frequently provide that the commission shall install and supervise systems to facilitate the rating and control of individual efficiency. In carrying out this supervision, commissions have worked out a variety of methods for recording individual efficiency, none of which has proved in practice entirely satisfactory. Commissions generally recognize the need of an objective measure of the value of the service of public employees, and may be expected in the future to meet this need by devising practical methods of rating and recording individual efficiency.

Coördinate with the duty of selecting applicants for original entrance to the civil service is that of regulating promotions. Civil service laws commonly provide that the commission shall regulate promotions on the basis of fitness and merit, to be determined as far as practicable by competitive examination. As a matter of fact, civil service commissions have generally allowed the control over promotions to remain very largely in the hands of administrative officers. In order to insure a much needed reform in this matter, civil service commissions should exercise a larger control over the granting of promotions.

A function which civil service commissions have exercised to only a limited degree, but one which properly belongs to them, is the supervision of the training of public employees for increased usefulness. Training of this kind is particularly desirable in view of the highly specialized character of many civil service employments.

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The civil service commission should study the educational needs of the various government departments, and should have general supervision over the activities carried on in the interest of vocational education.

Among the administrative duties of the civil service commission is that of investigating and reporting on conditions which affect the welfare and morale of public employees. Civil service commissions have in the main neglected to exercise this function. In order to become really effective as agencies of employment control, civil service commissions should keep themselves currently informed concerning the conditions which obtain in public employment, and should, in so far as it lies within their province, take action looking to the maintenance of wholesome and attractive employment conditions.

**Organization of the Civil Service Commission.** The successful exercise of the foregoing functions demands corresponding organization. In the case of larger governments, it demands a considerable degree of internal organization within the civil service commission and in the civil service department.

In exercising its quasi-legislative function, that is, in enacting rules and regulations governing public employment, in handling the question of exemption, and in determining questions of policy, a civil service commission usually acts collectively, as a deliberate body. In such matters a collective judgment is more reliable than the judgment of a single individual, and it tends, moreover, to inspire confidence in the integrity of the public employment system.

In a similar way, in exercising its quasi-judicial function, that is, in the hearing of appeals or complaints, or in determining questions of discipline, a civil service commission usually acts collectively.

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Experience has shown, however, that in carrying out its administrative duties, a civil service commission does best to delegate definite responsibility to a single member of the commission. Where a commission attempts to act as a board in handling administrative matters, the result is almost certain to be a division of responsibility, and consequent indecision and inaction. A civil service commission should, therefore, make a single member responsible for all administrative functions, or specific members responsible for specifically defined administrative functions. In the case of governments of moderate size, a single member of the commission may well be made responsible for all matters of administration, such as the conduct of examinations, the preparation of eligible lists, the certification of eligibles, the supervision of efficiency ratings, the inspection of working conditions, etc.

In the larger governments, the civil service commission has a more or less extensive staff of assistants. There is a secretary of the commission, whose duties are those of general supervision over the administrative work of the civil service department. There is frequently a chief examiner, who supervises the preparation, conduct, and rating of examinations. In some cases the same person holds both the office of secretary and that of chief examiner. In order to insure continuity in the work of a civil service department, it is highly desirable that the secretary of the commission be a permanent official, chosen according to the ordinary rules for filling positions in the classified service, that is, on the basis of open competitive examination. In addition to the secretary and the chief examiner, the civil service commission in the larger governments has a staff of examiners, who are especially qualified to prepare

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examinations pertaining to the various fields of public employment; a staff of investigators who make character investigations and verify experience statements; and a force of clerks and stenographers who handle the correspondence, files, and other records of the commission.

CHAPTER IV  
STANDARDIZATION OF PUBLIC  
EMPLOYMENT

**Purpose of Standardization.** What has come to be known in a more or less technical sense as "standardization" is the necessary foundation of a business-like and equitable administration of public employment. Without a standardization of the terms and conditions of employment, the agencies charged with the control of civil service personnel have on their hands a problem impossible of solution. Provided with a standardization of employment conditions, civil service commissions and administrative heads have a basis on which to perform effectively the duty of employment administration.

The standardization movement, which began about fifteen years ago, represents the positive phase of civil service reform as contrasted with the older negative phase, which was concerned mainly with the imposition of checks and restrictions on administrative authority. It represents an effort to place in the hands of civil service commissions and of administrative officers positive means of dealing uniformly and effectively with employment problems.

The movement first led to concrete results in the government of the City of Chicago. An overhauling of the entire system of employment was undertaken in 1909 by the Municipal Efficiency Commission. In 1905 the civil service commission had distinctly recognized the need of a standardization. Its report of that year stated:

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Experience has demonstrated that a change should be made, and, after long study of the question, it has been concluded that a new system of grading should be worked out on the lines of the particular duties performed. The task is not an easy one and will require the best efforts of the Commission, but in time a better system of grading will be devised. . . . There must come the establishment of a salary system which shall have a direct relation to the grade of work in which the employee is engaged. At the present time there is no system under which they are graded in the city service.

The annual report for 1906 stated:

Our method of grading, based upon compensation, has not been satisfactory and has caused us much concern, and thus far we have not been able to devise more satisfactory methods, based upon duties. Practically the chief trouble arises from the great inequality of salaries paid in the various departments of the city.

The report for 1907, reiterating the same view, declared:

Most serious of the problems which embarrass the administration of the civil service is the matter of grading. The records show that this difficulty has been recognized by preceding commissions. Its solution can no longer be postponed. The Commission will undertake to re-classify, re-grade, and, in a measure, establish a standard for fixing uniform salaries.

The conditions here pictured are typical of those which, in other governments, led to a realization of the need of standardization. Following the initiative of Chicago, New York City and Pittsburgh and Illinois and New York State authorized a standardization of employment conditions. The states of New Jersey, Ohio, and Wisconsin; Los Angeles County; and the cities of Philadelphia, Buffalo, Rochester, Milwaukee, Dayton, Minneapolis, Portland (Ore.), and Seattle have since authorized a standardization and carried it

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through to a greater or lesser degree of completion. In 1919 Congress created a joint commission, which was empowered to recommend a "reclassification of salaries" of national employees in Washington. The commission has made its report, "submitting a classification of positions on the basis of duties and qualifications, and schedules of compensation for the respective classes."

A standardization of public employment is concerned in the first instance with the problem of compensation. It fixes, as nearly as this can be done, an equitable rate of pay for each class or grade of work, taking into consideration the nature of the duties and the qualifications required. It also establishes equal pay for equal work. It fixes a rate of compensation for each class of work, regardless of who performs it or the department of the public service in which it is performed. But a standardization goes beyond this, and touches other important phases of employment besides compensation. By classifying positions in terms of duties and qualifications, it lays the foundation for an intelligent handling of the problem of exemption from competition. By ascribing a standard title to each grade of position, it secures the important practical result of a definite and uniform terminology. By specifying the duties and qualifications required in each grade of position, it provides a basis for devising effective entrance and promotion examinations, for the conduct of training courses, for indicating principal lines of promotion, for the setting of suitable standards of efficiency, and for the regulation of advancement and promotion. In short, a standardization, though designed primarily to adjust the problem of compensation, provides the basis that is needed for handling most of the practical details of public employment administration.

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Experience on which to base a judgment of the results of standardization is unfortunately limited. The state and municipal governments which have authorized a standardization of employment conditions have applied, for the most part, the standardization only in a fragmentary way. The experience at hand, however, points to the conclusion that a scientific standardization of employment conditions accomplishes the purpose for which it is designed, and accordingly achieves results of the highest value to all the parties interested in public employment.

Being based on the most extensive piece of work of the kind as yet attempted, the summary of the benefits of standardization contained in the report of the Congressional Joint Commission is of interest in this connection. The benefits of a standardization of public employment accrue, of course, to three principal parties, namely, the government as employer, the employees of the government, and the general public. With special reference to the circumstances of the federal service, the Commission summarizes the benefits of the proposed standardization, and of the proposed plan for its future administration, as follows: <sup>1</sup>

The *Congress* will secure:

A sound and practical working basis for arriving at the proper rates of compensation in appropriations for personal services.

The assurance that on this basis salaries and wages will be appropriate at the same rate for the same work in all departments and at all times.

A means of controlling expenditures for personal services paid from lump-sum appropriations or contingent funds, and of bringing them into conformity with the basis observed in itemized appropriations.

The assurance that on this basis the salaries appropriated

<sup>1</sup> Report of the Congressional Joint Commission, part I, p. 26.



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for positions of different classes will have the equitable relationship that is called for by the difference in the values of the work involved in the respective classes.

The further assurance that the salaries appropriated on this basis will be fair to the employee and to the public as the taxpayer.

A method of adjusting salary scales from time to time, as required and justified by changes in economic conditions, in such a way as to permit of discriminating application of increases or decreases which will take into account the relative requirements of the several kinds of employment (as against the arbitrary spreading of bonuses, increases, or reductions over deserving and undeserving classes), and which will not affect the relative status of employees in the same class.

Assistance in the consideration of estimates through the common use by all departments of a specific and uniform terminology for classes of positions, *i.e.*, kinds of personal service.

A means, through this descriptive system of nomenclature, of comparing the organization requirements of different departments and of the same department at different periods.

Relief from the pressure of special requests for changes in the salary appropriations for individual positions or employees or for special groups or departments.

✓ The *Departments* will secure:

The immediate relief, so vital to the holding together of the experienced departmental organizations, that will come from the adoption of revised salary scales for specialized workers (particularly scientific and technical employees).

Permanent relief from the confusion resulting from the variations in salary scales for the same work in different departments, with the consequent tendency toward interdepartmental competition.

A means of expressing their exact organization needs to the appropriating body—the Congress—and the recruiting body—the Civil Service Commission.

All of the direct and indirect benefits that will come from a fair and businesslike wage policy and a contented personnel.

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The *Employees* will secure :

Immediate relief in cases where they are now inadequately paid.

Uniform justice in the relation between the compensation they receive and the value of their work.

The assurance that all other employees of the Government engaged in the same work are being treated in the same way.

The assurance that all adjustments of pay in the future will have reference to changes in living costs.

The incentive to effort that comes from a knowledge of an assured reward for successful accomplishment—advance in pay for increased usefulness in the same class of work and higher compensation upon promotion to a higher grade of work.

The *Public* will secure :

The assurance that its Government aims to be a model employer, and to pay each employee in proportion to the value of the work required of him.

This, in the main, may be taken as an adequate statement of the benefits that would be derived from a proper standardization of employment conditions in the national service. Whether the plan is, in all respects, the most practicable one for securing these benefits need not be determined here. Some of the benefits set down as accruing to Congress might be thought of as accruing in equal or even greater measure to the general public. In considering the benefits to the departments, the benefits to the civil service commission in terms of increased administrative facilities should not be overlooked. And the benefits secured to the public, in terms of efficient and businesslike service, would bulk more largely than appears in the foregoing summary.

The results achieved through a standardization of the conditions of public employment fall under the two principal headings of economy and efficiency. Some of

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the state and municipal standardizations have effected a saving in payroll costs, while at the same time correcting many cases of underpayment of individual employees. Whether a reduction in payroll costs can be effected depends on a multitude of fluctuating circumstances. In addition to its bearing on economy of government, a standardization achieves a marked improvement in efficiency. By prescribing equitable conditions of employment, and by laying the foundation for a uniform and business-like handling of employment problems, it introduces into the system of public employment in various direct and indirect ways a higher order of morale and of individual and group efficiency.

**Adoption of Standardization.** The adoption of a standardization of the conditions of public employment lies with the legislative branch of the government. The formulation of a scheme of standardization covering the employment conditions of a large government is an undertaking that requires considerable experience and technical knowledge. Such schemes of standardization are usually formulated by a committee, appointed for this purpose by the legislative or the executive branch of the government, which avails itself of the services of outside experts experienced in government and employment research. After a scheme of standardization has been formulated it is submitted to the legislative branch of the government for action. The standardization as submitted contains a classification of positions, with schedules of compensation, and rules providing for the future administration of the employment system on the basis of the standards proposed.

The standardization, after it has been adopted, is applied by, or under the direction of, the civil service commission.

**Principal Features of a Standardization Program.** The first main element of a standardization program consists of the so-called classification of the various employments or positions. Such a classification distributes all the positions in the service according to a principle of fundamental use in personnel administration. This may be called the scientific meaning. It should be carefully distinguished from several other senses in which the word is used in civil service nomenclature. As indicated, legislative bodies are said to "classify" employments in the sense of grouping them as "classified" and "unclassified." This is indeed an act of classification, though a very elementary one. The so-called "classified service," as it is created by legislative action of the type referred to, is far from being classified in any scientific sense, or in any sense of fundamental value in personnel administration. Furthermore, civil service commissions are said to classify the positions within their jurisdiction in the sense of grouping them as subject to examination or as exempt from examination. This again is a sense of the word "classification" different from the one in mind in the following paragraphs.

A scientific classification, as a part of a standardization program, groups all the positions of a system of public employment on the basis of the work done and the qualifications required in the positions. When viewed from the standpoint of such a classification, a large system of employment breaks up into a number of divisions, each one of which contains further subdivisions. For example, the national civil service, as analyzed by the Congressional Joint Commission, divides into three general groups, 44 services, and about 1,700 classes of positions. The three general groups are designated as (1) services involving clerical, office,

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or commercial work; (2) services involving the skilled trades, manual labor, public safety, or related work; and (3) services involving scientific, technical, professional, or subsidiary work. In this scheme the basic unit of the classification is the "class." A class is defined as "a group of all positions which, regardless of their organization connection, or location, call for the performance of substantially similar duties or work and involve the exercise of responsibilities of like importance and therefore demand substantially the same qualifications on the part of incumbents, and, for these reasons, are subject to common treatment in the selection of qualified appointees and other employment processes, and that can be aptly described by the same title." <sup>2</sup>

The report of the New York Senate Committee on Civil Service for 1916 recommended a classification of the employments of the state that followed a somewhat different method of grouping. In this scheme the employments are divided into 10 services, 157 groups, and about 300 grades. The 10 services are designated as the executive, managerial, clerical, professional and scientific, educational, investigational and examining, inspectional, institutional, skilled labor, and labor. The basic unit of the classification is here designated as the "grade of work." The number of grades of work is considerably less than that recognized in the proposed national classification, but of course the service of the State of New York is much less varied than that in the national government.

In making a classification of public employments, the circumstance of chief importance is that the classification shall be based on the work done and the qualifi-

<sup>2</sup> *Ibid.*, p. 73.

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cations required in the various employments. By following this principle a great advance is made over the old method of grouping employments solely with reference to the amount of compensation.

The principle to be followed in determining the basic unit of the classification, and therefore the number of such units recognized, is indicated by the requirement that all the positions included within a single unit shall require substantially the same kind of work and the same degree of responsibility, substantially the same qualifications in terms of training and experience, and deserve, on the basis of all the factors to be taken into consideration, substantially the same rate of compensation. In the interest of the practicability of the classification as a basis of employment administration, it is desirable that the number of unit grades of positions be restricted to the lowest figure possible.

Each grade of position is assigned an appropriate standard title. In the work of the Congressional Joint Commission it was found that about 105 different titles are being used to designate what proved on examination to be a single class of position. On the other hand, the Commission found that one blanket title, that of "Clerk, Class I," is used to designate what might be resolved into 97 varieties of positions.<sup>3</sup>

The uniformity of terminology brought about by a scientific classification is not the least important of the contributions which it makes to a business-like administration of employment.

The second principal part of a standardization program consists of a series of specifications of the various grades of positions. In a measure the specifications result directly from the classification. In order to make

<sup>3</sup> *Ibid.*, p. 44.

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a classification it is necessary to agree tentatively at least on the specification of the duties and qualifications involved in each position. The specification of each grade of position as worked out in final form contains for the grade in question (1) a standard title, (2) a statement of duties, (3) a statement of qualifications, and (4) a range of compensation. The specifications may also contain an indication of the principal lines of promotion leading to and from the position. A series of such specifications covering all the positions of the employment system is the immediate working basis for progressive employment administration.

The following examples are cited from the Report of the Congressional Joint Commission. They are specifications of two classes of positions, Senior Accountant, and Head Accountant.

Title of Class:

SENIOR ACCOUNTANT

### Specifications of Class

Duties:

Under general supervision, to audit cost accounting records in connection with contracts; to organize or improve cost systems subject to approval; to compile cost statistics; to investigate accounting methods; to supervise a small group engaged in similar work; and to perform related work as required.

Qualifications:

Training equivalent to that represented by graduation from high school; not less than four years' experience as senior public accountant or in a responsible position in the accounting and cost department of a large industrial establishment; thorough knowledge of the theory and practice of accounting; and good judgment.

### Principal Lines of Promotion

From: Junior Accountant.

To: Head Accountant.

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### Compensation for Class

Annual: \$2,400, \$2,520, \$2,640, \$2,760, \$2,880.

Title of Class:

HEAD ACCOUNTANT

### Specifications of Class

Duties:

Under general supervision, to direct large office or field accounting forces engaged in maintaining or verifying general or cost accounts or in investigating accounting methods; to direct the disposition of individual projects or groups of projects assigned to a subdivision for accounting supervision; to furnish expert and critical advice upon cost accounting policies, systems, and procedure; to submit analyses of methods of operation and details of cost bearing on quantity and time production; and to perform related work as required.

Qualifications:

Training equivalent to that represented by graduation from high school; not less than seven years' practical experience as senior accountant in public accounting work, or in charge of general and cost accounting work for a large industrial establishment; thorough knowledge of the theory and practice of accounting; administrative ability and sound judgment.

### Principal Lines of Promotion

From: Senior Accountant.

To: Assistant Chief Accountant.

### Compensation for Class

Annual: \$3,000, \$3,240, \$3,480, \$3,720.<sup>4</sup>

The specification of the grade of position entitled Senior Accountant contained in the report of the New York Senate Committee on Civil Service for 1916 is as follows:

Title of Positions:

SENIOR ACCOUNTANT

AUDITOR

<sup>4</sup> *Ibid.*, part II, p. 58.



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### Definition:

The duties of incumbents of these positions are to conduct independently, audits, examinations, and investigations of major importance, and to report thereon, to devise and install new methods of accounting procedure of complex nature, and to give critical and constructive accounting and auditing advice of a high order.

### Examples:

### Qualifications:

Supervising an examination of a public utility company.

Persons holding these positions shall have:

1. The minimum qualifications prescribed for Grade II.
2. Not less than two years of service in Grade II, or if appointed otherwise than by promotion from Grade II, at least two years of experience in work of Grade II character and standard.
3. Evidence of having fulfilled the requirements in auditing and accounting theory and practice, except that of experience, set by the Board of Regents of the University of the State of New York, for a certificate to practice as a Certified Public Accountant, or proof of other training in accounting recognized by the State Civil Service Commission as the equivalent thereof.
4. Such additional qualifications as may be required by the State Civil Service Commission.

### Compensation:

The range of annual compensation of this Grade for full time service is from \$2,340 to \$3,540, inclusive, with standard salary rates as follows: \$2,340, \$2,580, \$2,820, \$3,060, \$3,300, \$3,540.

### Special Regulation Governing Salary Rates:

The entrance and other salary rates of positions classified within this Grade are conditional upon appraisal, under the rules of the State Civil Service Commission, indicating that the rates to be designated do not exceed the value of the work to be performed.<sup>5</sup>

The statement of duties affords a basis for advertising vacancies in the civil service, for planning en-

<sup>5</sup> Report of the New York Senate Committee, 1916, p. 77.

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trance examinations, for the conduct of training courses, for setting and enforcing standards of efficiency, and for the regulation of advancement and promotion. It is the foundation for handling most of the details of employment administration.

The statement of qualifications in point of education and experience required in each position is of use in the processes of recruiting, selection, and promotion. It can be made particularly valuable as a means of spreading information concerning the opportunities and conditions of promotion in the civil service.

The range of compensation is the most important item in the specifications of each grade of position. A standardization is designed primarily to remedy irregularity and inadequacy of rates of compensation.

Compensation in public employment has usually been devoid of system. There has never been an exact or logical basis for fixing salary rates or titles of positions. Standards of compensation for particular kinds of work as a basis for making salary appropriations are unknown. Positions are created without definition of work requirements. There is great difference in compensation with respect to work of the same character or grade. Efficient service of a high grade in many instances receives but a low and inadequate rate of compensation, while service of a low grade in an equally large number of cases receives a large and excessive rate of compensation. In other words, compensation bears little reference to the service rendered.

Appropriating bodies have generally not attempted to establish a close correlation between pay and work requirements. They have, instead, established artificial salary grades that bear no relation to the services rendered in the various positions. These artificial

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salary grades have seriously restricted both administrative heads and civil service commissions, in the attempt to administer public employment on a business-like basis. A standardization of salary rates, with explicit reference to the work performed in the various positions, removes, therefore, one of the principal handicaps in the way of an efficient administration of public employment.

The specification of the pay of each grade of position indicates a range of compensation. This range contains a minimum and a maximum rate, and usually one or more intermediate rates. The minimum rate is the one at which the incumbent should enter the grade of work in question. This plan allows for advancement within the grade on the basis of length of service and increased efficiency. It is based on a recognition of the fact "that in many cases an employee enters a position with relatively little experience, and that through application and experience over a considerable period of time his usefulness increases to its maximum value. Advancement within this range of salary from the minimum to the maximum is held out as an incentive to efficient service."<sup>6</sup> Advances in salary within the grade should follow more or less automatically on the basis of attainment of reasonable standards of efficiency. They should be distinguished from promotions proper, which involve not only an increase in salary but a change from one grade of position to a higher grade with the assumption of new duties and responsibilities.

A standardization aims to fix the range of compensation for each grade of work at figures which shall be fair and adequate. The determination of a fair wage is, of

<sup>6</sup> New York City, Bureau of Standards, Standard Specifications for Personal Service, 1916, p. 17.

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course, a point on which it is impossible to reach complete agreement. Common sense indicates, however, that there are certain factors that should be given due consideration in determining a fair rate of compensation for public employees. These factors include the prevailing wage for similar work in private employment, the present cost of living, the qualifications required for the work in terms of education and experience, and the difficulty, unpleasantness, or dangers involved in the work in question.

Certain of the peculiarities of public employment enter into a determination of a fair rate of compensation. For example, the high degree of security of tenure generally offered in the public service may be considered to justify a somewhat lower rate of remuneration than obtains in private employment. In some fields the opportunity to attain a position of prestige, or to pursue a career of scientific research, may also be considered a part of the compensation. On the other hand some of the conditions of public employment may rightly be thought to require rates of compensation in excess of those prevailing in the open market. Some of the more highly specialized forms of public service have no exact counterpart in outside employment. Here the rate of pay prevailing in private employment offers very little guidance as to the value of the service rendered. Moreover, the circumstance that public employment does not, and perhaps never will, offer an opportunity of advancement to positions carrying exceptionally high salaries, may be taken to justify the payment of rates in the lower grades somewhat in excess of those prevailing in private employment.

Conditions in regard to the pay of employees of the national government have been summarized as follows:

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The salary and wage rates for positions involving like duties and responsibilities and calling for the same qualifications—that is, for positions of the same class—show wide variations and marked inequalities.

The salary and wage rates for positions in the same class are different in different departments and independent establishments. The scale of pay in some departments is markedly higher than the scale for the same class of work in other departments.

These inequalities in salary and wage scales as between departments are most striking when the rates of pay in the war-expanded establishments are contrasted with those in the organizations that were not largely increased during the war.

The bonus act for the fiscal year ending June 30, 1920, tends in many cases to increase the inequality for positions in the same class.

Rates of compensation in the government service as a whole have not increased as rapidly as has the cost of living according to official statistics.

The amounts of recent increases in rates of pay in the government service have varied greatly (*a*) as between classes of employment, and (*b*) as between departments.

The government has no standard to guide it in fixing the pay of its employees and no working plan for relating the salaries appropriate to the character and importance of the work for which such salaries are to be paid, and the designations of positions now appearing in the Book of Estimates are inaccurate and misleading.

There is a large number of unnecessary titles of positions contained in the Book of Estimates upon which appropriations are based, due to lack of definition of duties of positions. This is a factor in causing lack of uniformity in rates of pay.

The lack of standardization in rates of pay may be largely accounted for by the unrestricted freedom allowed in the administration of lump-sum appropriations and the rigidity of the present system of statutory appropriations.

The present method of fixing the salaries of employees upon their entrance into the service leads to inequality in the rates of pay for the same class of work at the very start.

The absence of any uniform plan or system for regulating increases in pay of employees who have gained experience and usefulness in a given class of work, and the even more serious lack of any equitable system governing promotion from lower

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to higher classes of positions have been very large factors in causing the disproportion between pay and work.

There is serious discontent, accompanied by an excessive turnover and loss, among the best trained and most efficient employees. The morale has been impaired. The national service has become unattractive to a desirable type of technical employee. The government has put itself in the position of wasting funds on the one hand, and doing serious injustice to individuals on the other, and of failing to get that degree of efficiency in administration that a more equitable and uniform wage policy would bring about.<sup>7</sup>

Plainly these conditions call for an upward revision in rates of compensation. The Commission estimated that the schedules of compensation recommended by it would entail an increase of approximately 8.5 per cent over the present pay, including the bonus.<sup>8</sup> The increase in the case of some positions runs as high as 30 or 40 per cent.

Some of the state and municipal standardizations have effected a net reduction in payroll costs. Whether a reduction should be undertaken at the present time may be doubted. The justification of a standardization of public employment conditions must be looked for not so much in any direct saving in the cost of personal service as in the indirect saving effected through improvement in morale and efficiency. Economy often takes the form of better service for the same expenditure.

In addition to fixing rates of pay that are intended to be fair and adequate, a standardization insures equal pay for equal work throughout the entire service. Under existing circumstances employees doing similar work in different departments, or even in the same department, frequently receive substantially different

<sup>7</sup> Report of the Congressional Joint Commission, part I, pp. 31-60.

<sup>8</sup> *Ibid.*, p. 11.

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rates of compensation. By remedying this condition, a standardization accomplishes a fundamental improvement in the morale of the service and lays the foundation for handling the problems of personnel administration in a business-like manner.

A standardization of public employment conditions, in order to be complete, should embody a definite policy on the subject of retirement. Few American governments have adopted an adequate retirement system. The need of a retirement system for public employees results in large part from the relatively high degree of security of tenure which prevails in public employment. This security of tenure is in itself a necessary feature of the public employment system. Restrictions surrounding appointment and removal must be placed on administrative officers. One consequence of this fact is that employees, once in the public service, tend to remain there after the period of their usefulness has elapsed. Administrative heads have little incentive for removing them. Moreover, humanitarian considerations often dictate that disabled or superannuated employees shall be carried on the payroll. They frequently are retained in the service as long as they are able to fulfill the minimum requirements of attendance. The government in this way more than pays the cost of a sound system of retirement by carrying a large element of "dead wood" on the payroll, and incidentally perpetuates a condition that is destructive of the morale and efficiency of the service.

The objects to be accomplished by a system of retirement concern three parties, namely, the government as an employer, the employees of the government, and the general public. A system of retirement should conserve the interests of each of these principal parties.

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Lewis Meriam, who has made a thorough study of this subject, writes as follows:<sup>9</sup>

The objects which the government seeks to attain through the establishment of a retirement system may be briefly enumerated as follows: (1) the elimination from its active force of those who have lost their efficiency because of advancing age or long service; (2) the elimination of those who have lost their efficiency in earlier life because of accident or disease; (3) the improvement of the morale of the remainder; (4) the retention in the service of the best of its present employees; many of whom in the absence of such a system resign to accept positions elsewhere; and (5) the attraction to the service of a higher grade of men. These objects, which are closely interrelated and may properly be included under the one head, the improvement of the personnel, require separate consideration.

Concerning the interests of public employees in a system of retirement, Mr. Meriam further points out that

two distinct classes must be distinguished at the outset: (1) those who are already in the service and (2) those who will enter after the system is in operation. The interests of the two classes are radically different. . . . To the oldest of the present employees the establishment of a retirement system by the government appeals as an act of grace, a benevolent award of just deserts for long and faithful service. . . . To future entrants the system does not appeal as an act of grace; it is regarded as one of the inducements to enter the service and the prospective benefits are considered part of the compensation earned by services rendered.<sup>10</sup>

The advantage that the general public derives from a sound system for the retirement of public employees consists primarily in the improvement effected in the morale and efficiency of the government service. There

<sup>9</sup> Meriam, *Principles Governing Retirement of Public Employees*, 1918, p. 3.

<sup>10</sup> *Ibid.*, p. 17.



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is an additional advantage to the public in that a properly conceived plan for the retirement of government employees becomes a valuable system of social insurance.

A standardization of the conditions of public employment facilitates, in an important way, the work of the agency responsible for estimates of government expenditures. The budget-making agency must estimate the payroll needs of the various government departments. Without a standardization of public employment conditions, it has little to guide it in making up estimates of the cost of personal service. On the basis of standard schedules of compensation, that agency is enabled to approach intelligently the problem of estimates for personal service, and to formulate estimates that are fair both to the tax-paying public and to public employees. The work to be done in a given department having been determined, a sum estimated to be adequate to cover the payroll costs should be appropriated without restrictions as to the exact number of employees needed or the particular salaries to be paid to individual employees. The officer responsible for the administration of the department should be allowed considerable latitude in determining the number and grade of positions to be filled.

A standardization of public employment usually reveals the need and opportunity for the abolishment of unnecessary positions and the reorganization of government departments. The carrying out of a reorganization of departments, with the consequent abolishment of old positions and the creation of new ones, is not ordinarily conceived to be a part of the work of standardization proper. A standardization confines itself more or less closely to the establishment of uniform and equitable conditions within the existing system of employment. It

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does not undertake to determine what work shall be done by the various departments or what organization and procedure are best suited to accomplish this work. A standardization does, however, develop valuable information on these subjects, and this information should be made available to the agency that is best able to apply it.

An agency authorized to study and control efficiency and economy should be a part of every government. The need of such an agency, whether permanent or temporary, in the case of the national government has recently received general recognition. It has been summed up in the statement of former Secretary Lane to the effect that "Washington is poorly organized for the task that belongs to it." What is true of Washington is doubtless true to a still greater extent of many state and municipal governments. An agency is needed in connection with every government which has the power to eliminate unnecessary positions, to devise and install efficient methods of procedure, and to reorganize and consolidate departments on the basis of the functions performed.

**Current Revision of Standards.** Standards once adopted should not remain stationary. They should be revised from time to time in order to meet changes in the requirements of the service as well as changes in the circumstances surrounding public employment.

The basic standards can be changed only by legislative action. An agency should be authorized, however, to study the need of changes in the standards of employment, and to recommend such changes periodically to the legislative branch of the government. The civil service commission would appear to be best qualified to perform this duty, at least so far as concerns

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most of the standards involved. Whether the civil service commission should be allowed to have final control over recommendations of changes in the schedules of compensation may be questioned. In a large government, particularly in the national government, the revision of schedules of compensation presents a financial and political problem of great importance. The recommendation of new schedules of compensation in this case should be under the immediate control of the budget-making agency of the government. The recommendation of changes in other employment standards may well be placed under the supervision of the civil service commission.

Apart from the need of the periodical revision of rates of compensation, there exists a need of current revision of titles, of definitions of duties and of the corresponding standards of efficiency, of statements of qualifications required and of the conditions controlling promotion. The civil service commission should recommend periodically such changes in these features of the standardization as are needed to keep the standardization up to date and to make it a useful instrument of administration.

**Enforcement of Standards.** The mere enactment of a standardization of public employment conditions will not in itself accomplish results of practical importance. To achieve important results, the standardization must be conscientiously enforced. The civil service commission has the duty of enforcing the employment standards.

The original enforcement of new standards involves the allocation of existing positions to the proper grades within the classification, with a consequent adjustment of salaries according to the new schedules. In cases in

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which there has been a downward revision of the rate of pay, the transition from the old to the new basis of employment should be made in such a manner as to work as little hardship on individual employees as possible. In this case, it is sometimes advisable to make the transition to the new schedule only as new employees are recruited. Where there has been an increase in the rate of pay, present employees should be given the benefit of the increase immediately, as represented by the appropriate rate within the grade of position occupied.

The current enforcement of a standardization involves all the manifold details of employment administration. It involves the recruiting and selection of employees on the basis of the standards adopted, the training of employees, the setting of suitable standards of efficiency, the supervision of advancement and promotion, the maintenance of discipline, and the encouragement of a spirit of coöperation. As the agency responsible for the enforcement of standards the civil service commission must maintain an attitude of supervision and control toward both department heads and public employees. This control should be exercised in such a way as to make the standardization not so much a basis of restrictions as a basis of constructive effort and development.

## CHAPTER V

### THE CONDUCT OF A STANDARDIZATION INQUIRY

The fundamental principles underlying the classification of public employments and the gradation of salaries have been defined and its objects stated. The extent to which these principles have been ignored in the development of civil service regulations and practice has been pointed out. The adoption of a new classification, based upon the principles outlined, has been shown to be fundamental to any positive reform in employment methods. The present chapter is concerned with the more important points to be observed in the conduct of a standardization inquiry.

**The Need for a Special Staff.** Constructive reorganization of the system of employment management can be achieved only through a thorough inquiry with special facilities for an intelligent handling of the subject. The employment problems of a large public enterprise are bound up with the intricacies of administration. Their solution involves investigation of a complex nature. Information of a varied character and voluminous detail must be collected and interpreted. Each distinctive employment or group of employments must be analyzed. Conditions of private employment must be ascertained. The costs of living must be determined. A system of examining and rating individual efficiency, control, and discipline must be considered. The legal status of the existing system must be determined, which requires

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familiarity with public law and public administration. A standardization, moreover, affects all classes of employees. Its benefits both to the government and the employees must be carefully set forth so as to obtain the coöperation of the official and unofficial agencies.

Methods of classification and distinct technical processes have been developed in the standardization inquiries that have already been conducted. Although little more than a beginning has been made, the plans and procedure for employment control are, in some respects, more advanced than generally obtain in progressive practice. In starting any new inquiry, therefore, provision should be made for profiting from the experience of the earlier work in this field, and this can generally be done best by retaining a special directing staff with some experience in this special field.

The number and qualifications of the directing staff and the specially qualified assistants will depend upon the size of the government, the variety of its employments, the extent to which employment conditions have factors that affect employment problems. Whatever the exact conditions, the first requisite is for an experienced, well qualified directing staff.<sup>1</sup>

<sup>1</sup> Special staffs were organized in several American cities, notably in New York, Chicago, Milwaukee, Pittsburgh, Portland (Ore.), and Los Angeles; in the states of New York, Wisconsin, Ohio, and New Jersey; and in the national government. The results of these investigations are valuable from two aspects, the immediate and the secondary. The immediate value lies in the results secured through the attempts of states and cities to apply these standards as a means of improving conditions. The secondary value lies in the scientific work extending over the last twelve years, representing a series of experiments undertaken for the purpose of formulating sound principles of classification and the establishing of standard rates of pay.

The purpose and methods of a standardization inquiry are summarized in the report of the Congressional Joint Commission. Chapter VII of that report is, in effect, a manual of procedure of application to any government employing a large personnel.

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### **Ex-officio Staff Assistant and Leadership Inadequate.**

Investigations of large and representative governments, with ex-officio committees and part-time assistance have proved futile. The task is so large and complex that without competent leadership and specialized staff assistance on a full-time basis, too little emphasis is placed on the importance of the task and superficial treatment is the result. Finally, unless the inquiry is given independent status and sanction, there is no assurance that the program will be adopted and its principles followed up.

**Legal Status of Standardization Agency.** In some jurisdictions, notably the national government and New York State, the legislative body has directed the inquiry. In other jurisdictions, such as Chicago, it has been conducted under executive auspices. Theoretically, the latter would seem to be the correct practice. Political considerations, however, might offset the theoretical advantages of an executive inquiry.

The enforcement of standards governing rates of pay and other conditions of employment is obviously a problem of current administration. It is an undertaking for which the executive branch of the government alone can be held accountable. No set of rules and regulations can be made binding on a political body. For the purely ministerial features of rule enforcement, a legislative body cannot be reached by mandamus. Furthermore, where discretion is involved in rule interpretation and enforcement—and the efficacy of employment standards depends upon the exercise of discretion in their adjustment to varying conditions—a political body is influenced primarily by political considerations. The administration of rules should be in the hands of officers who can be reached by mandamus, or who can

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be effectively and promptly disciplined or removed for failure to adhere to established practice and procedure. This is a cardinal principle of government.

The development of standards must be predicated upon the information and experience that the executive and his subordinates, who are in constant touch with the detailed needs of the service, alone possess.

Furthermore, the information and experience thus developed are important factors in the enforcement of the new regulations. They furnish background for their application. One of the primary purposes of a standardization inquiry is to furnish a basis for new provisions of administrative law. To this extent it is a legislative responsibility. But this responsibility of the legislature is not inconsistent with the responsibility of the executive under approved theories of management, to initiate proposals as to administrative needs. The committee system, with adequate facility for hearing, investigation, and discussion, enables the legislature to reach independent judgment as to the soundness of the executive's proposals. Members of the legislature should be invited to review the progress of the inquiry from time to time. Indeed, every facility for keeping in touch with the work should be furnished in order that they may be put in a position to judge and appraise the proposals made at the time they are presented in the form of suggested legislation.

**Coöperation of all Factors Essential.** The first step in the development of any program which so vitally affects the living and working relations of a large and representative number of the community, is to develop an intelligent public opinion as well as a basis for sympathetic coöperation with those to be so affected. Constructive publicity will furnish the most effective means at the



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outset for developing this opinion and coöperation. Statements released to the press and circulars distributed among employees as well as interested citizens should outline the scope and objects of the inquiry, the general plan of investigation, and concretely specify the policy to be adhered to in the conduct of the inquiry, indicating the advantages to be gained. It should be made clear to both the public and the employees that the inquiry will be conducted along broad and impersonal lines; that it will be fair and thorough.

Experience shows that there is danger that the whole movement will be misunderstood because of the use of the data collected for purposes other than standardization proper. This has caused civil servants in city and state governments<sup>2</sup> to feel that greater protection is afforded by the organizations through which existing iniquities have been produced than by coöperation with those who are seeking to "standardize." This has arisen from a somewhat natural extension of the work of "standardization" to include certain tasks of "budget making" on the one hand and tasks of "administration" on the other.

A standardization study is essentially a problem of coördinating and controlling examination and investigation work. The study progresses in several distinct stages, and the prompt completion of one is essential to an intelligent consideration of the next. For example, complete information as to each employment must be developed according to standard form, and distributed and classified in various ways before the problem of preparing specifications for each line of employment can

<sup>2</sup> Fortunately the employees of the national government, generally, have expressed real sympathy with the standardization and classification work recently completed by the Joint Congressional Commission.

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be approached. Likewise, prevailing rates of wages must be determined before a tentative gradation of salaries and wages can be set up on the basis of duties.

The collection and interpretation of information, as a basis for new standards, is a task of great magnitude. The staff agency is not equipped to perform all the routine work independently. It is essential, too, that other points of view should be reflected on the problem. The staff agency should devote itself primarily to verifying and interpreting the data that are independently developed through other agencies. The facilities for coöperation in the collection of data include those afforded by:

The executive departments and offices.

The civil service commissions as the board of employment control.

Local citizen research agencies.

Private employers.

Other governments and research agencies.

Special citizen advisory groups.

**Facilities Afforded by the Executive Departments.** The officers and employees of the several departments under investigation represent the most important facilities for coöperation. They are in a position to describe and interpret accurately existing conditions. They are equipped to review and certify information on employment conditions to the special staff. It is important, therefore, that the coöperation of these agencies be established in such a way as to charge each department with independent responsibility for assistance. A departmental representative should be designated who will work constantly with the standardizing agency.

Departmental conferences of the formally designated "representatives" and other officers should be

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held. This brings the special staff into touch with those persons in the government upon whom will fall the responsibility for furnishing a large amount of the information. Conferences furnish a means for establishing coöperation on a sound basis and define the working methods to be followed. The scope of these conferences might be outlined as follows:

General discussion of problem and program with special emphasis on

The need for inquiry.

The benefits to accrue to the government and to the employees.

The need for capable and continuous assistance from departments.

Definite work methods in relation to

Preparation of work records.

Review and revision of work records.

Field notes.

Organization reports.

Preparation of classification (a future step).

Preparation of specifications (a future step).

The official representatives become the spokesmen of the employees. They, themselves, are vitally concerned. The conference furnishes a forum of discussion that enables the standardization agency to discover the elements of antagonism and hostility to the program. It leads to criticisms, some of which will be found unsound; others, well founded; and it enables the standardization agency to readjust the plan of inquiry to any new conditions presented. The most important benefit of these conferences is the assurance to the officers and employees that they will participate in the formulation of the new system of employment regulation. They furnish a means of oral instruction to the departmental

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representatives as a group. This is desirable, for it raises numerous questions as to the details of the procedure which, in the aggregate, become important to the final result.

**Facilities Afforded by Civil Service Commission.** The basic features of classification, as pointed out in Chapter IV include the following:

Standard duties.

Standard grades and rates of pay.

Standard titles.

Standard qualifications as a basis for admission to the service.

Standard qualifications as a basis for promotion.

Standard regulations governing salary increases.

The development of these standards must be predicated upon the experience of the civil service commission in recruiting, advancing, and promoting employees under various conditions. Its opinion should be reflected upon all important questions. Coöperation with the civil service commission is necessary in order to insure that the grades and rates of compensation and the rules and regulations for their enforcement will be adapted to scientific recruiting and employment methods. The rate of salary or wage determines, to a large extent, the type of person who can be recruited. Particularly is this true of the public service, where a somewhat artificial examination is the basis for a competitive appointment. Control over the conditions for salary increase—a matter of fiscal or legislative control—must be coördinated with the administrative arrangement for designating who shall be increased. The civil

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service commission, in effect, conducted the standardization inquiry for Chicago. Its responsibility as the employment board of control explains the thoroughness and dispatch with which the inquiry was conducted. It explains, too, the accuracy of its conclusions, and, despite the limitations in the matter of classification, the direct and tangible results that accrued.

### **Facilities Afforded by Local Citizen Research Agencies.**

Almost every large community has research bureaus or other civic agencies that are equipped to assist the local government on problems of personal and civil service. A bureau of municipal research is organized for technical assistance and can greatly assist in the collection, classification, and interpretation of data as to employment conditions. Such an agency represents an independent and impersonal viewpoint, and sometimes gives assurance to the community that the investigations are free from political influences. Agencies, such as chambers of commerce, that are not equipped to render technical service in this field, are valuable for propaganda and publicity purposes. An attempt to secure the adoption of new standards necessarily arouses the opposition of reactionaries, and too often fails to secure the approval of the progressives. This means that a campaign has to be carried on in the community for the purpose of developing public opinion sufficiently strong to secure the ratification of the program.

Civic agencies, particularly bureaus of municipal research, have assisted in the standardization and civil service studies of New York City, Pittsburgh, Milwaukee, Rochester, and New York State. Indeed, these inquiries have been undertaken largely through their initiative. Continuous coöperation with the official agencies has continued throughout the investigations.

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**Facilities Afforded by Private Employers.** It is recognized that certain private enterprises have introduced up-to-date methods of employment control. Local private practice necessarily establishes the prevailing rates of pay for most lines of work. The facilities for determining the prevailing rates of pay should be sought. The contemporary opinion of representative employers should be reflected on problems of appointment, promotion, and retirement.

**Facilities of Other Governments and Outside Research Agencies.** The state, county, and city governments that have made special studies of this problem have developed scientific materials of large value. The cooperation of these governments and the various citizen agencies that have worked in conjunction with them, should be sought for the purpose of utilizing the results and materials of their investigations.

**Special Citizen Advisory Groups.** Specialists in various occupations, such as engineering, law, medicine, social investigation, and accounting, are equipped to furnish technical assistance and advice on subjects of qualifications, experience, rates of pay, and other questions of employment control. The methods of inquiry should contemplate full opportunity for specialists, individually or in groups, to assist the government. These facilities should also be availed of in interpreting the program to the community.

All the foregoing factors of coöperation were recognized in the New York State, the New York City, and, more recently, the national government inquiries.

**Collection of Data as to Existing Employment Conditions.** The first step in the investigative program is to learn what each employee is actually doing. The primary requisite is a description of the duties actually per-

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formed by each employee, so presented as to bring out clearly the difficulty of the work, the degree of responsibility it involves, the extent to which it is supervised or demands the supervision of others, and the training and experience necessary for its successful prosecution. This information is indispensable. Supplementary data are usually collected regarding the age of the employee and his service history or record. The extent to which the service history of the employee is inquired into will depend in part on the size of the government being studied. In small governments the physical difficulties of reviewing and utilizing details are comparatively slight, but in large governments, where the number of positions runs high into the thousands, the work involved in reviewing and utilizing a mass of details is so considerable that only absolutely essential questions should be asked. Information regarding the departmental location of the position, its civil service status, salary, and perquisites are, of course, always secured.<sup>3</sup>

To facilitate the collection of this information, a standard form or questionnaire should be used, which, under ordinary circumstances, will be initially filled out by the employee himself. If the employee prepares the record, the department is relieved of a large amount of work. Most of the information desired can be furnished by him in the first instance without assistance, and he alone possesses some of it. Employees long in the service may be unable to give complete civil service records without reference to the civil service commission or the department's personnel records, but arrangements

<sup>3</sup> The scope of the information asked in reference to the civil service and work record of each employee in the New York State inquiry is shown by the questionnaire used in it. This form, which was similar to that used in the New York City inquiry, is reproduced on pp. 76-77.





CIVIL SERVICE RECORD OF EMPLOYEES \*—STATE OF NEW YORK

No. \_\_\_\_\_

Present Civil Service title	Name (surname first)	Department	Do not use this space
Where working (name of city or town)	Office to which you at present report	Occupation at time of entering state service	Bureau
		Salary	Division
		Veteran (of what) (years)	
		\$.....	

History of Employee from the Time of Entrance to the Service

Department	Position	Civil Service class	How each position secured (appointment, promotion or transfer)	Date of appointment, promotion or transfer	By whom appointed (title)	Is position you hold statutory, (give section)	Salary or wage	Reimbursements for expenses, or payments of any kind (give particulars by years)	Date of separation from service, if any
		1. Unclassified							
		2. Classified							
		a. Exempt							
		b. Competitive							
		c. Non-competitive							
		d. Labor							

List remunerations and benefits, other than regular salary (such as maintenance, or allowances therefor, uniforms, etc.) which are officially attached to present position, describing each in detail.

Remarks: If there has been a separation from the service, give date of reinstatement, etc.

..... (1950)

..... (1951)

..... (1952)

\* Reduced from card 8 1/2 in. x 11 in.

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can be made whereby they may consult these records or be supplied with the necessary facts.

The details of the procedure that is to be followed in getting the questionnaires properly distributed will depend in part upon the conditions existing in the particular government being investigated. A procedure such as was followed in the New York State inquiry may be summarized as follows:

The responsibility for the distribution, filling out, and verification of the civil service and work record cards so that they may be ready for certification to the standardization bureau within two weeks after their receipt is placed upon the several departments.

A blank civil service and work card with a circular of instruction issued by the standardization agency is given to each employee. Instructions should be clear and specific as to the character of the several answers desired.

The employee prepares a tentative or rough draft of answers.

The tentative draft is referred by the employee to his immediate superior, who reviews same. The immediate superior is charged with the same responsibility as the employee himself for the accuracy and completeness of the answers filled in.

The immediate superior makes the necessary corrections in the rough draft. These corrections as far as possible should be made only after discussion with the employee, inasmuch as the record in its final form will be verified by the employee as his statement.

The tentative draft of answers as reviewed by the immediate superior should be referred to the bureau head or other officer acting in this capacity for final review. The bureau head or other officer acting in this capacity then fills out the questions of the work record which relate respectively to inconsistencies of title, salary rate, etc., and to special training and experience required.

The cards are then reviewed by the staff examiner acting in conjunction with the departmental representative.

In the national inquiry both the employee and his immediate superior prepared the so-called duties state-

## CONDUCT OF A STANDARDIZATION INQUIRY

ment, so that each was given the opportunity to express himself just as he pleased, though each knew that whatever he said would be read by the other. This procedure has the distinct merit that it brings issues of fact between the immediate superior and the employee to the attention of the investigating agency, and it gives the employees the feeling that they have an independent standing in the work.

The preparation of the description of the work presents the real difficulties. The employee's statement should be complete. He should enumerate the several classes of work he performs, and under each class describe the duties in detail. For example, a clerk in the application division of the civil service commission might describe his work in these terms: "I receive requests for applications, by mail and by personal visits; such requests average 350 each day. I give information to the public in reference to how such applications should be filled out. I receive applications when filled out, briefly reviewing the same for the purpose of calling attention to omissions or irregularities therein. I record said applications in a daily register which consists of the name and number. The average number of applications received and so recorded is 325."

The work record should show the extent to which the employee supervises the work done by others. Supervision may involve the direction of several bureaus, it may relate to the direction of several divisions or to sections within a division, or to one or more assistants who do not constitute a recognized organization unit. Systematic provision should be made for recording the exact facts regarding the number of employees or the organization units supervised, the degree of supervision exercised, and the time given to it.

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The following form was used in the national inquiry:  
CONGRESSIONAL JOINT COMMISSION ON RECLASSIFICATION OF SALARIES

## CLASSIFICATION QUESTIONNAIRE

GENERAL STATEMENT.—The Congressional Joint Commission on Reclassification of Salaries is charged with the duty of reporting what "readjustment of compensation should be made so as to provide uniform and equitable pay for the same character of employment throughout the District of Columbia \* \* \*." To assist the Commission in ascertaining the "character of employment" in each position in the service it requests that each employee furnish specified information (questions 1 to 22) regarding his own position. The immediate superior of each employee is also requested to furnish certain information (questions 23 to 27). READ ALL QUESTIONS THROUGH BEFORE WRITING ANYTHING. Then fill in the answers carefully, and finally reread all questions and answers. Entries must be made in ink or typewriting. This card goes first to the employee, then to his immediate superior, who will return it to the employee for final delivery to the Commission's representatives.

Name.....  
Organization Unit.....  
Pay-roll Title.....  
Basic Salary.....  
No.....

### QUESTIONS BELOW TO BE ANSWERED BY EMPLOYEE

(Read all questions through before writing anything.)

#### POSITION

1. By what occupation, name, or title, is your position usually referred to?.....  
.....

#### PLACE OF WORK

2. Where is your office or place of work? (a).....Building  
(b).....St. or Ave. (c) Telephone No..... Branch.....  
3. Who is your immediate superior?..... His title?.....

#### DUTIES

4. What work do you actually perform in your position? (Answer this question fully in the space provided on the other side of this card.)  
5. Do you hold any other Government position?..... If so, give title and place of work.....

#### COMPENSATION

6. What is your present rate of pay, exclusive of bonus? (a) \$..... { per month.  
per day.  
per hour.  
(b) \$..... per yr. (c) Bonus? \$.....  
7. Are you paid for overtime work? ..... If so, at what rate? \$..... per.....  
(Yes or No.)  
8. Do you receive any remuneration or allowances in addition to your salary, such as board, lodging, etc.?.....  
(Yes or No.)  
9. If so, state fully what they are.....  
10. What supplies, uniform, or equipment, if any, are you required to furnish at your own expense?.....  
.....

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## HOURS OF WORK

11. What are your regular working hours? (a) Hour of beginning.....  
(b) Hour of ending..... (c) Minutes for lunch?.....  
(d) Net hours per week?..... (e) Leave per year: (1) An-  
nual.....days; (2) Sick.....days.
12. Do you work overtime?..... (a) If so, how often and during what  
months?..... (b) How many hours per day  
on the average on overtime days?.....
13. Do you work full time or part time in this position?.....

## SUPERVISORY RESPONSIBILITY

14. Are you responsible for the direction or supervision of the work of others?  
.....  
(Yes or No.)
15. If so, how many?..... 16. What is the aggregate of their annual  
salaries? \$.....
17. List below the titles or occupations of the employees under your supervision and  
indicate the number of each kind.  
.....  
.....

## PERSONAL DATA

18. What is your age? .....yrs.....mos. 19. How long have  
you been in your present position doing substantially the same work as that  
described in your answer to question 4? .....yrs.....mos.  
Since .....  
(Year.)
20. At what salary did you start in your present position? \$..... { per month.  
per day.  
per hour.
21. How long altogether have you been in the civilian employ of the United States  
Government or of the municipality of the District of Columbia?.....yrs.  
.....mos.  
Since ..... 22. At what salary did you first enter the  
(Year.)  
service?..... { per month.  
per day.  
per hour.

## NOTE

Before signing this certificate, read over all of the questions and your answers and make sure that you have given the information called for in each case. After your immediate superior has made his notations on your card, and it has been examined by the Bureau or Division Chief, it will be returned to you for your final signature and for delivery to the Commission's representatives.

## CERTIFICATE

I hereby certify that my answers to all of the questions in this Questionnaire are in all respects correct to the best of my knowledge and belief.

Date....., 1919. Signed: { Mr.  
Mrs. ....  
Miss  
(Sign Full Name.)

## QUESTIONS BELOW TO BE ANSWERED BY IMMEDIATE SUPERIOR

(Read all questions through before writing anything.)

23. What is the work actually performed by the employee to whom this Questionnaire is addressed? (Please answer this question fully in the place provided in the lower part of the other side of this card.)



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TO THE IMMEDIATE SUPERIOR  
(See question 23 on other side.)

Give a careful and complete statement of the duties of the position to which this card applies. Describe specifically the work actually performed by the employee. Tabulate in separate paragraphs the items that go to make up the work. Indicate in each case what percentage of the total time of the incumbent is given to each task in the ordinary course of his work. After you have completed your statement, draw an oblique line through the remaining space; and return this card to the employee. Ask him to return the card to the Commission's representatives.

.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....  
.....

### TO THE EMPLOYEE

(NOTE:—When this card has been returned to you by your immediate superior, fill out the questions below and deliver the card to the Commission's representatives.)

28. In your opinion, is there any material difference of fact between the statements of your duties given in answer to questions 4 and 23?  
..... 29. If so, in what essential respects do they differ?  
(Yes or No.)

.....  
.....  
Signed: .....  
(Employee.)

**Independent Verification of Records by Staff Examiners.**  
During the preparation of the work records it will be desirable for the staff examiner, in conjunction with the departmental representative, to confer with supervisory employees as to the progress of the work. He should make first-hand observations for the purpose of determining the reliability of the information being furnished. To do this he should review in a preliminary way a representative number of cards during the course of preparation. He should then discuss these cards with the respective employees and, on the basis of this investigation, report to the departmental representative and the

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responsible officer his observations as to the accuracy and completeness of the information being prepared.

The preparation of civil service and work records gives the staff examiner good opportunity to familiarize himself with employment conditions in the department. Many questions arise as to the manner in which the answers should be made. The examiner is better equipped to furnish this information than the departmental representative. In furnishing it he familiarizes himself with the position involved.

Continuous contact with employment conditions over a rather short period enables an accustomed and trained examiner to interpret employment conditions accurately and to classify the employees of any large department. The preparation of field notes recording from day to day the observations of the staff examiner promotes accurate thinking and analysis. An examiner can retain in his memory but a limited number of the impressions and observations that he makes from day to day. If they are currently recorded, however, a body of information is developed that soon becomes complete and is easily interpreted. The procedure for the preparation of field notes should be defined and made mandatory.<sup>4</sup>

<sup>4</sup>The examiners of the New York Senate Committee on Civil Service were required to prepare field notes as outlined above, and on the basis of such notes summary observations as to irregularities. The irregularities were grouped under appropriate captions such as the following:

Irregularity of title.

Irregularity of compensation.

Defective classification of positions (particular reference to exemptions).

Conditions that made for duplication of work and waste.

Departmental practice with respect to vacation and sick leave.

Departmental practice with respect to maintenance and other perquisites.

Departmental practice with reference to traveling expenses.

Unnecessary work (that is, fields of activity undertaken by department).



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**Summary Observations as to Irregularities.** On the basis of the field notes the examiners should prepare summary observations as to irregularities that appear in the preliminary examinations. These should be recorded as tentative or interim comments to be used as a basis for future reference and review. They are intended merely as an elaboration of the original notes themselves.

The current preparation of field notes facilitates the preparation of reports on organization and procedure that should be undertaken as a somewhat distinct, though related, study, in order to secure better perspective for the interpretation of employment conditions.

**Use of Studies of Organization.** Working charts or outlines of organization should be prepared for each major unit of organization. These are valuable in presenting a picture of the organization and of the distribution of employees in relation to functions, lines of authority, and specific classes of work. They assist in interpreting employment conditions and detecting irregularities.<sup>5</sup>

The chart or outline should indicate the formal units of organization or other reasonably distinct groups into which the personnel is distributed.<sup>6</sup> It should also show in so far as possible the interrelation of the subordinate units, thus revealing existing lines of authority and

<sup>5</sup> They may prove of value too in calling the attention of department heads and other officers to questions regarding the structure or the procedure of the bureaus or offices for which they are responsible, as greater exactness and precision of understanding is required in making an organization chart than in ordinary routine supervision. In the Chicago, New York State, New York City, and other inquiries, these charts were the specific means of bringing to light improper divisions of personnel and other administrative defects. Conscientious officers were thus directly stimulated to improve their organization.

<sup>6</sup> See statement in relation to procedure in Report of Congressional Joint Commission, p. 167.

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responsibility. For each subordinate unit should be shown the number of employees distributed according to distinctive titles. In charting, a square or rectangle may be used to indicate each major organization unit. Each square or rectangle may well be divided into three parts, the first containing the name of the unit or a characterization of the activity (such as general administration), the second, a detailed specification of the functions of the unit, and the third, an itemization of the personnel. It may be desirable to differentiate between the major and the subordinate organization units, presenting the information for the former in somewhat different form.<sup>7</sup>

The coördinate or subordinate relation of any particular unit is usually indicated in the working chart by the relative position of the blocks and by the direction of the connecting lines.

An intensive study of each individual position of distinctive group of positions necessarily includes questions of organization. The scope and importance of a position is dependent upon its relation to the group. Indeed, it is believed that classification and appraisal of positions must be based in part upon studies of the organization as a group activity to which the individual positions are attached.<sup>8</sup>

<sup>7</sup> The organization charts for the government of the City of New York (which were designed for permanent use rather than as working charts in an investigation) presented for the major units the following information: the name or function of the organization; summary statement of the personnel, with total salary cost and the title of the person in charge with his salary; and a brief statement of the functions or activities of the organization unit. This plan was adhered to also for the subordinate units as far as their formal organization would permit.

<sup>8</sup> The New York Senate Committee on Civil Service was directed as a part of its standardization inquiry, to report "what, if any, positions should be abolished or changed in the interest of the public welfare." It considered itself directly authorized under the terms of

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For each of the major units or services of the government a descriptive monograph is desirable presenting a detailed account of its history, organization, and work methods. The comprehensiveness of such reports would depend upon the limits of time and the technical assistance available for the study and the extent to which the materials developed are to be used for the analysis of methods of administration. Such descriptive reports, to be of value in reference to the technical problems of personal management, must be technical in

this resolution to inquire not only into employment conditions but also into the machinery of government and the administrative procedure.

The preparation of reports on organization and methods of administration was undertaken as a separate but integral part of the standardization program in order to meet this requirement. For each department a detailed descriptive report was prepared, showing existing functions, distribution of personnel, organization, and work methods. On the basis of such descriptive reports, verified by the department, criticisms and recommendations were formulated by the committee's staff for each of the departments, indicating wherein the existing organization, methods, or procedure could be changed with resulting economy or increased efficiency.

These reports were found to be of great value in appraising the positions according to the standards of the classification that was proposed by that committee.

The reports on organization, methods, and procedure consisted of three parts, characterized as follows:

Part 1, Descriptive reports.

Part 2, Critical comments on organization, methods, and procedure.

Part 3, Constructive recommendations.

The following outline suggests, in a broad way, the scope and character of these reports:

Part 1. Descriptive statement of history, organization, methods, and procedure.

A. Introductory.

1. Historical.

2. General statement of organization.

3. Outline of functions and activities.

4. Characterization of problems.

5. Appropriations for the past five years.

(a) Total.

(b) Personal service.

B. Descriptive statement of organization, procedure, and methods of overhead operation.

1. Organization.

2. Methods.

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character. They must present a detailed picture of departmental operations; not a broad view of its functions. The specific duties devolving upon each subordinate unit of organization and the scientific methods of technique observed for the performance of those duties must be described.

### C. Descriptive statement of organization, procedure, and methods of departmental operation.

1. Bureau No. 1.
  - (a) Organization.
  - (b) Personnel.
  - (c) Methods.
2. Bureau No. 2.
  - (a) Organization.
  - (b) Personnel.
  - (c) Methods.
3. Bureau No. 3.
  - (a) Organization.
  - (b) Personnel.
  - (c) Methods.

### Part 2. Critical comments on organization, methods, and procedure.

#### A. Criticism of the overhead system of control.

1. Handicaps due to organization.
  - (a) Bureau No. 1.
  - (b) Bureau No. 2.
  - (c) Bureau No. 3, etc.
2. Defects in methods and procedure.
  - (a) General comments as to policy.
  - (b) Specific defects in procedure such as,
    - (1) Defects in receiving, distributing, and filing correspondence.
    - (2) Defects in assigning work to inspectors or other groups of employees performing the same kind of work.
    - (3) Unsuitable arrangement of offices.
    - (4) Departmental practice with respect to vacation and sick leave.
    - (5) Departmental practice with respect to maintenance and other perquisites.
    - (6) Departmental practice with respect to traveling expenses, etc.

#### B. Criticism of detailed methods of operation.

#### C. Criticism of individual employments and employment conditions.

### Part 3. Constructive recommendations.

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### **Inquiry into Standards of Civil Service Examinations.**

In recruiting and regulating employees under an organized system of control, past experience furnishes in part the basis for the consideration of present problems. The formulation of new standards requires exhaustive study of the detailed methods and technique of the local employment board in recruiting and regulating employees. The procedure of the civil service commission, as the employment board, must be examined with respect to the following subjects:

Methods of advertising and arranging examinations.

Standards of examinations as a basis for original appointment.

Standards of examinations and other conditions governing promotion.

The quality and standard of persons recruited through competitive examinations depend in part upon the advertising methods through which persons of special qualifications and potential fitness are attracted to the competitive examination. It is necessary to ascertain whether the publicity methods of the employment board are designed to stimulate sufficiently wide competition.

The character and form of advertisements, the designated channels of publicity and the extent to which universities and business corporations are appealed to, should be considered in reference to the number of applicants that compete for appointment to those positions which represent the more important lines of the public service.

The standards of examination should be analyzed on the basis of representative examination papers. The basic factors, such as experience, personality, technical tests, etc., should be independently examined in refer-

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ence to the requirements of the position to be filled. In this connection the procedure preliminary to the holding of examination, the means employed by the commission to learn the requirements of the positions to be filled, and the methods of organizing the tests on a practical basis should be considered. The examination subjects and factors should be analyzed to determine the standards of severity and the use of questions calling for the exercise of imagination, judgment, and powers of analysis.

The success of examinations expressed in terms of the quality of persons certified should be determined. This is necessarily difficult. Conclusions are valuable, however, even though they consist merely of opinions of the responsible officers as to the grade and character of the service that is being rendered by persons certified from particular eligible lists.

**Standards of Examinations and Conditions Governing Promotion.** The standards of promotional examinations should be examined in the same way as the standards of examination for original appointment. It is equally important, however, to consider the lines and area of promotion—in other words, the legal or administrative conditions that determine the opportunity for promotion which is open to employees in each specific line of work—and the conditions that determine the basis for salary increases.

**Formulation of the Classification.** The basis of a duties classification of positions or employments was reviewed in the previous chapter, where the conclusion was reached that if a classification is to be effective as an instrument of control, it should treat separately each distinctive line of work such as bookkeeping, auditing, etc. Such a distinctive line of work represents the broad-

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est unit into which positions can be grouped without introducing dissimilarity in respect to the general nature of the duties, the requirements for original entrance into the service, or the normal lines of promotion. The positions in such a distinctive line of work are so closely related that the salaries for each position must bear a very definite relationship to the others in the same line whether they be higher or lower.

**Lines of Work to be Distinguished.** One of the earliest steps in the actual formulation of the classification proper is to reach a tentative decision regarding what distinctive lines of work are to be recognized. The questionnaires descriptive of the various positions can then be sorted into the lines recognized and all the other material collected similarly arranged so that all the data may be available for the staff members who are specially qualified for and who are to specialize in the examination of positions in that special line.

Although the problem of setting up tentative distinctive lines of work to be recognized presents some opportunity for the exercise of judgment, it is in the main to be solved on the basis of the facts regarding the particular service being investigated. The number of distinct lines that must be recognized is not to be determined arbitrarily, but will depend on the variety of distinct occupations and vocations being followed in the service, and it must be recognized that although most of the occupations have their counterpart in private life, some will almost inevitably be found that are peculiar to the government. Where the government is very large and diverse, it may be helpful in the first sorting of the questionnaires and other material according to general lines of work, to provide for a very limited number of miscellaneous groups that can be

subsequently made the subject of special study to determine to what extent they require recognition as distinct lines.

The number of positions concerned and the degree of distinctiveness of the lines of work will require careful consideration in reaching a final decision as to whether a given type of work should be recognized as a distinct line. Some positions are so unique that even though there be but one or two of them in the service, they will have to be recognized as constituting a distinct line, because they will have to be filled by special examinations and they must have salaries in harmony with those paid by private employers for that particular type of work. The small number of artificial limb makers and fitters employed by the federal government on account of the war furnishes a good illustration of such a line of work. In clerical work are found the best illustrations of cases where the number of positions concerned is an important factor. If a city has just a few clerks giving their full time to statistical clerical work, it is not necessary to recognize statistical clerical work as a distinct line, for these positions can be filled passably well from selection among persons who have general clerical qualifications and are particularly good in arithmetic. If, on the other hand, the service contains large numbers of statistical clerks, as is the case in the national government, special entrance examinations may well be given to test ability for this particular line of work and careful consideration must be given as to whether the salaries are properly adjusted. Defects that are not of very great consequence when they affect only one or two employees become of very great moment when many are concerned. The number of employees involved must, therefore, be considered as one factor in



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reaching a decision regarding the lines of work to be recognized as distinctive.

**The Division into Classes or Grades.** After the distinctive lines to be recognized have been tentatively determined and all the material collected has been sorted accordingly, comes the most difficult and important work in classification, the division of all the positions or lines of work into grades or classes. The recognition of the vocation or occupation of the incumbent of a given position is in the great majority of cases simple; and it is not particularly difficult to say what the minimum and maximum salaries should be for that line of work. One can, for example, easily recognize a stenographer from the duties stated on the questionnaire, and fairly general agreement can be reached on what range there should be between the most elementary routine stenographic work and the most difficult shorthand reporting. The real task is to say how the stenographic positions should be divided into classes or grades and how the several classes or grades shall be compensated. It is here that the real salary control comes in, and it is in this feature of the work that the employees and the administrators are most vitally concerned.

Differences of opinion are more common in respect to this division of a particular line of work into grades or classes than they are in respect to any other technical process of classification. In several classifications the practice has been to determine tentatively upon a given number of grades, which are defined in fairly general terms upon the basis of responsibility, difficulty of performance, and qualifications involved, and then to provide for the grades a series of standard salary ranges. The particular line of work is then divided into grades or classes in such a way that some one of the standard

ranges can be applied. Where this method has been adopted, the practice has not infrequently been followed of consolidating several closely related kinds of work into a single more or less composite grade, if it is believed that a common entrance examination can properly be given for recruiting for all the different kinds of work included in the lowest grade. This practice has been followed notably in the clerical field, where the tentative grades have been defined in terms of clerical work in general and not in the terms of any distinct kind of clerical work in particular. The general terms of definition have been given particularity by the free use of illustrative examples drawn from typical kinds of clerical work.

#### **The Wisconsin Method of Grading Clerical Positions.**

A more scientific and perhaps more satisfactory method of grading services as a basis for specifications was made by Wisconsin in classifying clerical positions.

In order to secure the points of view of different employees interested in various phases of clerical work and to understand the various problems confronting the different organizations making up the state government, some twenty employees representing twelve departments were selected from the several departments to assist in the preparation of a standard specification chart.

The lines of work and grades of responsibility represented are indicated by the list of employees selected:

Five chief clerks.

Five accountants.

Two statisticians.

Two filing and index clerks.

Three secretarial clerks.

Two professors from the school of commerce.

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### **Tabulation and Classification of Primary Work Elements.**

From a study of the descriptive statements furnished by the departments with respect to each clerk in the service, a list of typical clerical duties was made. This was essentially a tabulation of primary work elements listed in such terms as the following:

Searches record files for statistical information.

Files cards, correspondence, reports, etc., according to subjects.

Briefs correspondence.

Classifies materials according to subjects.

The duties so listed cover the entire range of clerical routine from the simplest duties of the office boy to those of the private secretary and chief clerk.

Work elements that involve practically the same degree of ability were grouped together and posted to cards. The following, for example, indicates a grouping of duties that was called "a typical duty."

Opens and sorts mail.

Inspects all addressed mail before it leaves the office.

Sends out set form requests, acknowledgments, etc.

Has charge of requests for printed matter.

Answers requests for fixed information, filling in set forms.

Answers common requests for fixed information, using form paragraphs.

The primary elements so tabulated were then grouped into reasonably well defined functional classes, as follows:

Class C, relating to correspondence.

Class F, relating to filing and indexing.

Class S, relating to statistical work.

Class R, relating to recording.

Class E, relating to examining and certifying.

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The next step was to arrange the typical duties, within each of the five functional classes, according to the degrees of responsibility involved, and difficulty of performance. The employees designated to assist in the development of the classification chart were organized into committees for the purpose of this work. The exact nature of the process is indicated by the instructions issued by the civil service commission:

On each card is indicated a typical clerical duty, and these duties are divided into groups (a group in each pack) for the sake of convenience. All cards in a pack are marked with the same letter.

Sort one pack at a time as follows: Arrange the cards of a pack in a serial order, according to the relative degree of ability required to efficiently perform the duties enumerated. Place numbers on the cards according to this serial arrangement, numbering as one the card on which is indicated the duty, the performance of which requires the lowest degree of ability. Arrange these cards in a pack again and repeat the operation for each of the other packs.

Under no condition number alike two cards in the same pack.

Please consider the matter of the arrangement very carefully.

The result of this process is illustrated by an excerpt from the arrangement of typical duties for the distinct line of work—filing and indexing. It was as follows:

1. Cuts and pastes clippings.
2. Numbers cards, correspondence, reports, etc., serially, using machine.
3. Numbers cards, correspondence, reports, etc., serially without machine.
4. Locates towns, cities, etc., geographically and writes classification on same.
5. Files cards, correspondence, reports, etc., alphabetically, numerically, chronologically, or geographically without further subdivision.

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6. Files cards, correspondence, reports, etc., alphabetically, numerically, chronologically, or geographically with further subdivision.
7. Searches record files for desired information, following a simple scheme of classification.
8. Makes out index cards for classified papers, records, etc., including the recording of items from several sources.
9. Files cards, correspondence, reports, etc., according to subject or subjects using a decimal or special scheme of filing.
10. Searches record files for desired information, requiring a thorough knowledge of cross reference.
11. Briefs correspondence.
12. Classifies correspondence according to subject or subjects, using cross references.
13. Classifies reports, clippings, books, and such material according to subjects, using cross references.
14. Classifies material according to subject or subjects and according to use to be made of material.
15. Devises or revises index and filing scheme to meet peculiar needs.
16. Classifies material according to subject or subjects, calling for an extensive use of technical terms and a comprehensive knowledge of departmental procedure, etc.

Having arranged the primary work elements or typical duties in the order of their importance for each distinctive line of work, the next step was to group these duties into grades as a basis for specifying standard duties and salary rates. This involved determining where the grade limit should be drawn and the line of graduated responsibility set up. The gradation was made by the coöperating employees organized into committees and working under the direction of the civil service commission examiners. Each employee was given five sheets representing the five groupings referred to. On each sheet was found the relative arrangement of the duties of that particular line of work.

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The arrangement represented the consensus of opinion of 22 persons as to the relative degree of ability required to perform efficiently the duties enumerated.

The process of grading each line of work was as follows: Beginning with the lowest order, that is, duty No. 1, the list was carefully read down and examined. When the examiner came to a duty that he believed required a distinctly higher type of ability in its functional performance, he placed a mark between it and the preceding duty. This process was continued for the entire list. The result was a division of the list of duties into groups of duties. All within the same group represented the examiner's opinion of all duties falling within the same group, as involving the same degree of responsibility and the same degree of ability in their performance.

To facilitate the grouping of duties on this plan an outline chart of the following form was used:

Correspondence							
Filing and Indexing							
Statistical Work							
Recording							
Examining and Certifying							

In the vertical sections were assigned by number the card or cards representing the duties requiring practically the same degree of ability. In the horizontal

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sections were the duties of the same class, such as examining and certifying. The groups were arranged progressively from left to right, the first vertical section at the left representing the lowest grade of duties. Two cards which represent the same grade of work responsibility would be posted or located in the same square. The last step resulted in the final classification chart of duties. It is important to note that steps preliminary to the setting up of the grade limits represented the agreement of practically all departmental representatives participating in the inquiry. The actual marking off of the grade limits, however, showed considerable difference of opinion. The consensus of opinion favored six grades in the clerical service. Despite the fact that this seemed none too many for certain of the larger and more highly organized departments, it did not seem advisable to make that number for the entire Wisconsin service. A division into four grades was agreed upon.

The fixing of the grade limits was made largely on the basis of the points of separation between successive grades indicated by the assisting departmental representatives. It was recognized that false, arbitrary, or too fine distinctions might develop when the chart was applied.

In the Wisconsin service many stenographers devote much time to clerical duties. In many cases this is necessary. The nature of these clerical duties, however, should be considered and should play a part in determining the classification of the stenographers. To facilitate classification in these cases, a combined classification chart, including both clerical and stenographers' chart, was developed.

**Use of Classification Chart.** To show the application of the Wisconsin classification chart, let us take a prac-

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tical illustration. Suppose that the duties of a clerk are as follows:

	Time
Examines reports noting whether or not all points involved in the questions are answered.....	30 per cent.
Writes concerning the defects or deficiencies that he finds in these reports .....	5 per cent.
Answers requests for information, requiring simple but variable replies .....	10 per cent.
Interviews and supplies general information to the public .....	20 per cent.
Prepares subject matter for departmental advertising .....	10 per cent.
Classifies material according to subject or use to be made of the material .....	20 per cent.
Answers all 'phone calls.....	5 per cent.

Projecting these duties upon the chart it is found that the distribution of time is as follows:

	Grades			
	1	2	3	4
Cor. ....	5 per cent.		15 per cent.	
F. & I. ....			20 per cent.	
R. ....				
S. ....				
Exam. ....			60 per cent.	

This shows that the major part of this clerk's time is devoted to duties falling under the grade 3. Therefore it was decided he should receive a salary within the limits of that grade. The amount of time he devotes to duties of a higher or lower group, the efficiency of his work, and seniority should play a part in determining what his salary should be within these limits.

**Clerical Classification of the Congressional Commission.**

The method followed by the Joint Congressional Com-



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mission on Reclassification of Salaries for the clerical positions was, in several respects, similar to that pursued in Wisconsin, but the Commission omitted the last step and did not attempt to consolidate the different types or lines of clerical work into one uniform series of grades. Instead it divided each particular line into classes on the basis of the facts for that particular line without reference to exactly what had been done in dividing other lines. When salaries were fixed, the several lines were compared, but no attempt was made to establish one uniform grading system or one uniform scheme of salary ranges applicable to all kinds of clerical work. The Commission took the position that a uniform system of grades and ranges did violence to the facts they found. The national service at Washington included over 50,000 clerks, and consequently the effects of any arbitrary decisions would have been much more far-reaching than they would be in a state or municipal service with a much smaller body of clerical employees.

The practice of the Commission in respect to the clerical service was as follows:

The classification staff of the Commission was made up of employees of the several departments detailed to the Commission at its request. They were generally selected because of some special knowledge or experience that was believed to fit them for the classification of a particular line of work. They were under the immediate direction of the so-called "headquarters staff," who supplied the technical knowledge of and experience in classification. For each type of clerical work a staff committee was organized, consisting of most if not all the members of the staff who had special knowledge of the particular work. The chairman of

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each of these committees was the one primarily responsible for the formulation of the specifications and the other members were either assistants or consultants.

The chairmen of the several clerical committees constituted the clerical group committee which was the coördinating agency and the forum for the discussion of common problems. The chairman of the group committee was ex-officio member of all the clerical committees. A member of the headquarters staff almost invariably sat with the committees, and there was close coöperation between the several chairmen and the members of the headquarters staff.

The more important lines of clerical work recognized, with the approximate number of positions in each were as follows:

Mail, file, and record.....	18,000
Typing, stenographic, and correspondence.....	16,000
Fiscal and accounting .....	6,600
Messenger .....	3,400
Supply and equipment .....	3,100
Statistical clerical .....	2,000
Office appliance operating .....	2,000
Personnel .....	1,200
Mechanical tabulation .....	1,000
Publications and information .....	1,000
Administrative and supervisory clerical.....	500
Miscellaneous clerical .....	6,000

After the questionnaires descriptive of the various positions had been arranged according to organization units, they were examined and symbolized according to the particular line of work involved. They were then sorted by the line of work, and all questionnaires for a given line were turned over to the committee specially organized to handle them.

The committees then prepared tentative specifications for the classes into which their particular line of

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work was to be divided. For this purpose they drew on several sources of information. They reviewed hurriedly the questionnaires sorted to their particular line of work, and since most of the members had come from the respective lines concerned, they drew on their own knowledge of the positions involved. They consulted informally with officers and employees in the government service and others in whom they had confidence. They organized informal advisory committees of officers and employees in the service at Washington. Suggestions were also derived from study of titles and specifications printed in the reports of other modern classifications. From all these sources the tentative specifications were developed.

After the tentative class specifications had been developed, they were tested and perfected through applying them in sorting all the questionnaires to classes. This involved a careful, minute reading of each questionnaire and, in some instances, special inquiries had to be made for further information. When the specifications had thus been tested, by seeing that they were applicable to the various positions, they were mimeographed and submitted to representative committees of the employees and the administrators concerned for criticism and suggestion. Each of these committees was given a hearing, at which they submitted such criticism of the specifications as they cared to make and their suggestions regarding what would be a suitable salary scale.

When the specifications for the clerical classes had been finally drafted, those for each numerically important class were typed in an abbreviated form on three by five cards, which were kept in series according to lines of work. Several long tables were placed end to

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end, and strings were run the length of all the tables in such a way that the surface of the tables was marked off like a gridiron by horizontal lines. The cards for each type of work were then arranged in a vertical row running from front to back at a right angle to the strings, with the cards for the lowest class at the front and the highest at the back. The individual cards in the several vertical rows were then moved forward or back as the case might be until all the cards falling in the same horizontal lines, as marked off by the strings, appeared to the classifiers to be positions of like value. Thus the classifiers had before them a graphical chart of the numerically important clerical positions, and by following any string across one could readily compare the classes in the several lines of work that were regarded as of equal value. For several days the cards were kept thus arranged so that various members of the staff could inspect them and offer criticisms. This device was not absolutely the controlling factor in determining the salaries suggested to the Commission as the basis for recommendations to be made to Congress; certain other factors were also taken into consideration, but it greatly facilitated the work of adjusting salaries as it afforded a ready means of comparison.

In the opinion of the staff of the Commission concerned with the clerical positions, the method demonstrated graphically the wisdom of the decision not to attempt to consolidate the different kinds of clerical work into a limited number of standard grades. Although something could have been done in this direction without doing violence to the facts of the service, many classes were found that required more individual treatment. In the national service at Washington the number of clerical positions is so great that any arbitrary

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consolidation or grading is of far more serious consequence than it is in a city or state service.

**Revision of Specifications.** To insure thorough and effective criticism of the specifications, it is highly desirable that departmental committees be designated to examine and criticize the tentative specifications. Separate committees should be formed for specifications of all important lines of work. The committees should consist of employees who have expert information or wide experience in the line of work to be criticized. Furthermore, the committees should be as representative of the departments as is necessary to reflect all points of view of the problem.

As the final step in revision, it is desirable to hold formal conference with these committees and discuss the criticisms which they wish to offer. Records of these discussions should be preserved for reference and use.

**Review of Specifications.** Specialists outside the service and others properly qualified should be requested to review the tentative specifications on the basis of their knowledge and experience. This applies particularly to specifications covering the professional and scientific services. Such review will prove highly advantageous in obtaining a well rounded and unbiased point of view, thereby enabling the standardizing agency finally to establish sound and thoroughly practical employment regulations.

**Determining Standards of Compensation.** After the classification proper has been perfected, the next problem is to determine the salaries to be paid to the several grades or classes established. The prevailing or market rate of salaries and wages must of necessity be the primary factor in determining rates of compensation

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for the public service. Independent investigation is necessary to determine the prevailing or market salary rates. The local banking, industrial, and other corporations of the community should be visited to determine private rates for work that is comparable to that being prosecuted by the government.

There are two kinds of data that may be developed in this connection: information as to existing schedules of salary and wage rates, and the opinion of employers as to what the government should pay for specific lines and grades of work. The opinions are, of course, the easier to collect but they are less conclusive.

The character of the statistical information developed with respect to private practice will depend largely upon the time and effort that can be expended in this branch of the inquiry. Any well organized private corporation is in a position to furnish fairly easily a distribution of its full-time employees according to general lines of work and salary rates. Such a distribution on a definite monthly or yearly basis might show in the first instance the number of clerical employees drawing less than \$6 a week, the number between \$6 and \$8, \$8 and \$12, \$12 and \$18, etc. Such figures can be secured easily.

Some corporations have graded their employees according to duties and responsibility. Such information is of definite and concrete value in establishing standards for comparable lines of work in the government service. Many private employers would be in a position to make a tentative grading of certain groups of their employees in order to furnish information as to what the standards appear to be, or could supply statements regarding the nature of duties and compensation that would permit of grading by the standardiz-

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ing agency, provided the time and money is available for such work.

Hypothetical questions predicated upon representative positions in the government furnish a definite basis for an expression of opinion by private employers as to the grade of work involved and the amount the government should pay for it. Hypothetical questions of this character in terms of standards of work were submitted by the Senate Committee to representative employers of the State of New York. Hypothetical statements—each statement representing a grade of work—were sent to a number of employers familiar with the line of work specified. The returns revealed a marked agreement as to the standards of compensation that should be applied. Disagreement in the number of cases reflected differences in the employment policy. It was found, for example, that certain employers were consistently low in rating classes of work submitted to them; others consistently high. Later, specific positions in the state service which, on the basis of tentative appraisals were thought to be high or low in salary rates, were submitted for appraisal. The returns from private employers in this respect were equally gratifying, tending to confirm the standards employed as a basis for the appraisal as well as the appraisal itself.

**Appraisal of Employments on the Basis of Standard Specifications.** Having established the standard specifications and determined the rates of compensation, the next step in the prosecution of a standardization inquiry is to appraise or allocate each position according to such standards. The purpose of such appraisal is to determine where each position falls in the standard specifications, thereby laying the basis for the application of

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standard titles (thus correcting the fictitious and irregular titles that exist), the application of the standard rates of compensation (thus correcting the excess or inadequacy of pay), and the determining, by means of the standard duties, whether employees are performing the duties that should be performed, as a basis for payroll certification.

**Tentative Appraisals by Staff Examiners.** The initial or tentative appraisals of the individual positions should be made by the staff examiners assigned to specific departments for the purpose of verifying the civil service work records of each employee and collecting information with respect thereto. The departmental examiner should participate in the appraisal of all positions in those departments which he has studied, inasmuch as he is best informed as to the employment conditions within such departments. He should be assisted by at least one other examiner, preferably the one who prepared the specifications governing the positions to be appraised. An apparently good technique in appraisal or allocation is as follows:

*a.* The appraisal group should consist of at least two examiners for each department, one of whom should be the examiner who investigated the department.

*b.* The individual work records with supporting field notes should furnish the basis for tentative appraisal. One of the appraisal group, preferably the departmental examiner, should read and interpret the work description, after which each examiner should independently express his opinion as to the line and grade of work into which the position falls. Upon agreement the position should be tentatively entered on a form.

*c.* Each position should be appraised at a salary rate provided for in the standard specifications. To facilitate further appraisal the consideration would be desirable to set up on an appropriate form, such as is herein suggested, the minimum and maximum salary limits, together with a description of the standard rate (that is, within grade) which is nearest to the



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existing salary rate. If the existing salary rate falls outside the limits of the grade in which the work is appraised, an appropriate notation such as "out of grade" should be made. Where the existing rate falls within the limits of the grade in which the work is appraised, but does not agree with one of the standard rates of the grade, the position should be appraised at the nearest salary rate whether such appraised rate be higher or lower than the present rate.

Where the present rate falls within the limits of the grade in which the work is appraised but is half-way between two standard rates, it should be appraised at the higher rate.

*d.* Appraisals should be made on an impersonal basis. Examiners who have made intensive studies of departments often are able to identify, from the work record, the particular incumbent of the position being appraised. As a result an element of bias often threatens their judgment. Discussion between members of the appraisal group should, as far as possible, omit references to personal characteristics of the employees. The appraisal should be based solely upon the difficulty of the work, its importance and the technical qualifications required in performance.

*e.* The appraisal should be made upon the basis of work grades rather than salary grades. Salary limits must, of course, be set up in defining work standards, and it is difficult to consider a grade of work except in its relation to the standards of compensation. The grade of work, however, must furnish the basis of appraisal.

The adequacy of the specifications is tested in the appraisal work. Inability to relate a given position to that grade of work in which it properly falls often brings to light inaccurate or inadequate definitions of work standards. Specifications that with equal warrant permit the appraisal of positions in one of two grades, indicate that the standards are not mutually exclusive and that the grades of responsibility are not clearly defined. Such disclosures should lead to further intensive study with a view to revising the specifications. Often difficulties will arise in appraising positions through the fault of the examiners. Differences of

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opinion should be referred promptly with full explanations to the supervisor in charge of the work.

The results of the appraisals should be recorded in comparative form. Positions for each department should be listed according to existing schedules and according to the proposed standards.

### **Investigation of Positions Appraised Out of Grade.**

The number of employments that receive excessive or inadequate rates of pay will vary somewhat according to the influences that have made for standardization. Each position appraised out of grade should receive further investigation by the standardization staff. The procedure should provide for the immediate review of these appraisals by the supervisor in charge of the work.

**Review of Appraisals.** Before the appraisals of positions according to existing standards are used as a basis for readjustment according to the policies defined by the standardization agencies, departmental officers should have an opportunity to review and criticize the conclusions reached. This is essential not only to insure against errors on the part of the technical examiners but also to secure their coöperation in the adoption of the program.

The measures to be employed and the practical steps to be taken in applying the results of the standardization study would follow the principles laid down in this section and also in Chapter IV.

## CHAPTER VI

### RECRUITING AND SELECTION

**Examination as the Basis of Selection.** "Hiring the worker" is the first step in actual employment control. It is, indeed, only a first step, which must be followed up by equally important acts of control and leadership. Hiring does, however, furnish the "raw material" of all subsequent employment processes, and is, therefore, of basic importance.

In the field of private enterprise the selection of employees is generally carried on by more or less haphazard methods. Employees are hired on the basis of a personal interview, sometimes supplemented by an investigation of references. In the more progressive establishments, where well developed employment departments exist, refinements in methods of interviewing and formal methods of testing the fitness of applicants are beginning to be introduced.

In civil service employment, on the other hand, the selection of employees has been based, for a number of years, in large part on a formal competitive examination. The employer, in this case the appointing officer, is not allowed to select employees entirely on the basis of personal judgment or impression. He is usually restricted in his choice to three persons who have been certified to him as eligible on the basis of the results of a competitive examination.

The competitive examination as a means of selecting public employees is justified by political considerations.

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It was introduced as an integral part of the merit system. The competitive examination is the only means of selecting public employees which is able to prevent the use of patronage as a device for controlling elections. It is the only means of opening up the opportunities in the public service in a way which is fair to all citizens and in accordance with the principles of democratic government. It is justified, in the second place, on the ground of effectiveness. Viewed merely in the light of scientific employment control, it is the most practical means of selecting from a large group of applicants those who are best qualified and who will, therefore, be most efficient and in the long run contented in a given line of employment. It is a method of selection superior to the inexact and impressionistic method hitherto in vogue in private employment. This fact is attested to by the present tendency among private employers to adopt formal tests of fitness as a means of selection.

The recruiting and selection of a personnel of good ability is possible only where attractive conditions of employment obtain. No method of selection can be expected to secure a high type of personnel unless the conditions of employment are such as to attract in considerable numbers high-grade applicants. Given conditions in the civil service which attract in large numbers candidates of good or superior ability, the competitive examination can be depended on as an effective means of discovering and selecting the best qualified applicants.

In civil service administration, the competitive examination, though used generally as the means of selection, is not applied universally. Certain positions are filled on the basis of a non-competitive or pass examination, and some positions are treated as "exempt" from all examination requirements.

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The non-competitive examination is sometimes thought by civil service commissions to be the only practical means of filling certain positions, particularly those requiring highly specialized professional or executive qualifications. The pass examination, indeed, may be properly used in filling some of these higher positions. The only real reason for its use is, however, that an adequate test of fitness for the position in question cannot be devised and that the selection must be made almost entirely on the basis of the past experience and the personality of the applicant. Wherever an effective test of fitness can be devised there is no reason why it should not be administered on a competitive basis. In the present state of knowledge concerning examining technique, it is sometimes difficult or impossible to devise effective tests of fitness. As knowledge of examining technique increases, it will be possible to devise suitable tests as a basis of recruiting employees for the highest civil service positions, and as these tests are developed they should be administered on the basis of open competition.

The so-called non-assembled examination is sometimes used as a basis of filling the higher professional and executive positions. It is in principle a competitive examination, though it does not require the competitors to assemble in a group. It is an individual rather than a group examination. It is useful especially in that it overcomes the objection that men of proved ability sometimes feel to entering a group examination. The non-assembled examination thus affords a useful means of extending the application of the competitive principle.

**The Examining Agency.** The civil service commission devises and conducts examinations to determine the fitness of applicants for entrance to the "classified" civil

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service. In the larger jurisdictions a more or less elaborate organization is needed for the performance of this function. A chief examiner, assisted by a staff of special examiners and clerical assistants, is usually charged with the duty of devising and conducting examinations.

In determining the subjects that enter into a given examination and the relative importance of the subjects, civil service commissions frequently cooperate with the department heads or appointing officers concerned. This practice is entirely in line with progressive methods of employment control and might well be extended. Concerning this point a committee of the National Assembly of Civil Service Commissions in 1919 made the following recommendations:

1. That a statement of duties be secured from the appointing officer, but an investigation and check of them be made by an examiner.

2. That suggestions as to subjects and weights be secured from appointing officers, decision as to these matters to remain with the commission.

3. That examiners be selected by the commission from among those best qualified to act, suggestions as to qualifications of examiners being invited from appointing officers. Appointing officers are not to serve on examining boards except in special cases in written examinations and only when identity of applicants is fully concealed.

4. That questions be formulated by the examining board on the duties to be performed and the qualifications desired in the position, and kept secret from all other persons except the commissioners.

In addition to the aid derived from department heads or other administrative officers, civil service commissions, in devising examinations, frequently avail themselves of the aid of outside experts in the various trades and professions. The civil service commission,

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however, is the responsible examining agency, and it should rely mainly on its own staff for the preparation and conduct of suitable examinations. When outside aid is required in the conduct of examinations, it would seem to be advisable to provide for a suitable *per diem* rate of compensation.

The devising of civil service examinations that are at once effective and free from an undue amount of duplication is an arduous undertaking. Civil service commissions would be greatly assisted in this work by the creation of a central agency for the exchange of information and the study of scientific methods of examination. Such an agency should study recent developments in the field of mental, trade, and educational measurement. The various local civil service commissions can hardly be expected to follow these developments of scientific method and to appraise their significance. A central agency would be in a position to evaluate recent developments and to make them generally available for use by civil service commissions.

**Factors of Civil Service Examination.** The word "examination" as used in civil service nomenclature has an unusually broad significance. It may denote a valuation or rating of all the facts concerning an applicant that are relevant in determining his fitness for civil service employment. An examination in this sense may include a number of other factors in addition to the examination designed to reveal special knowledge or general intelligence. It may include a rating of the applicant's experience, education, physical condition, personality, and sometimes of his citizenship.

The factors that enter into a given examination depend on the kind of employment in question. The rating of personality might not enter at all into an examination

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designed for the selection of the lower grades of clerical workers, though it would enter into an examination for the higher grades of office executives. The rating of experience might not enter into the selection of the lower grades of clerical employees, though it would enter into the selection of accountants or engineers. According to present practice in the national service, the rating of experience is practically the sole determining factor in the selection of accountants. This circumstance is due in large part to the difficulty of devising a suitable written test of fitness. The written test of special knowledge, however, is generally a factor of civil service examinations.

The factors of a given examination are assigned different relative weights according to the type of employment. Thus, the written test of an applicant's knowledge would be given greater weight in selecting a statistical clerk than in selecting an athletic director. The rating of physical condition would likewise be given greater weight in selecting a physical director than in selecting a statistical clerk. The rating of personality would be given greater relative weight in selecting a purchasing agent than in selecting a skilled mechanic. The relative weights of these factors should obviously vary with the different lines of employment.

In practice, commissions have failed to reach or even approach agreement in the matter of assigning weight to the various examination factors. It is to be expected that different relative weights will be assigned to the examination factors used in selecting workers for the different types of employment. Commissions, however, have failed to assign the same relative weight to the factors and subjects used in selecting workers for the same type of employment.



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Data on this subject, derived from a study of the practice of the principal civil service commissions throughout the country, have been presented by Chief Examiner Charles P. Messick of New Jersey, revealing the fact that in conducting examinations for clerks (salary \$65 to \$125 per month) ten representative commissions make use of the following widely divergent methods in the distribution of weights, as well as in the selection of examination subjects:

Commission No. 1:	<i>Weight</i>
Arithmetic .....	3
Handwriting .....	3
General paper including a letter .....	4
	<hr style="width: 100px; margin-left: auto; margin-right: 0;"/>
Total .....	10

Commission No. 2:	
Spelling .....	1
Arithmetic .....	2
Letter writing .....	1
Penmanship .....	1
Copying .....	2
Experience .....	3
	<hr style="width: 100px; margin-left: auto; margin-right: 0;"/>
Total .....	10

Commission No. 3:	
Duties .....	20
Letter writing .....	15
Arithmetic .....	15
Penmanship and neatness .....	30
Experience .....	20
	<hr style="width: 100px; margin-left: auto; margin-right: 0;"/>
Total .....	100

Commission No. 4:	
Experience .....	4
Duties .....	6
	<hr style="width: 100px; margin-left: auto; margin-right: 0;"/>
Total .....	10

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	<i>Weight</i>
<b>Commission No. 5:</b>	
Experience and training .....	30
Duties .....	20
Letter writing .....	10
Penmanship .....	15
Special .....	5
Arithmetic .....	20
Total .....	100
<b>Commission No. 6:</b>	
Experience .....	20
Duties .....	25
Arithmetic .....	20
Penmanship .....	20
Composition .....	5
Spelling .....	10
Total .....	100
<b>Commission No. 7:</b>	
Experience and training .....	3
General subject (educational) .....	4
Duties, office routine, etc.....	3
Total .....	10
<b>Commission No. 8:</b>	
Filing .....	5
Record keeping .....	4
Arithmetic .....	1
Total .....	10
<b>Commission No. 9:</b>	
Practical questions .....	4
Experience .....	3
Oral .....	3
Total .....	10
<b>Commission No. 10:</b>	
Practical questions .....	6
Experience and training .....	4
Total .....	10

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It appears, further, that in conducting examinations for assistant civil engineers (salary \$140 to \$170 per month), representative commissions use the following methods:

Commission No. 1:	<i>Weight</i>
Experience .....	2
Technical .....	6
Mathematics .....	2
	<hr style="width: 100%;"/>
Total .....	10

Commission No. 2:	
Special subject .....	5
Experience .....	3
Mathematics .....	1
Report .....	1
	<hr style="width: 100%;"/>
Total .....	10

Commission No. 3:	
Mathematics .....	10
Surveying .....	10
Designing .....	30
Construction .....	20
General experience .....	25
Local experience .....	5
	<hr style="width: 100%;"/>
Total .....	100

Commission No. 4:	
Education, experience, and training .....	7
Thesis .....	3
	<hr style="width: 100%;"/>
Total .....	10

Commission No. 5:	
Experience and training .....	4
Mathematics .....	2
Technical subject .....	4
	<hr style="width: 100%;"/>
Total .....	10

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	<i>Weight</i>
<b>Commission No. 6:</b>	
Experience .....	3
Practical .....	5
Oral .....	2
	10
Total .....	10

<b>Commission No. 7:</b>	
Experience .....	10
Design .....	2
Mathematics .....	2
Materials .....	3
Engineering theory .....	3
	20
Total .....	20

In the selection of civil service examiners (salary \$140 to \$200 per month) there is also great variety in practice:

	<i>Weight</i>
<b>Commission No. 1:</b>	
Duties .....	5
Experience .....	3
Oral duties .....	2
	10
Total .....	10

<b>Commission No. 2:</b>	
Thesis .....	2
Practical questions .....	3
Experience .....	5
	10
Total .....	10

<b>Commission No. 3:</b>	
Experience .....	3
Special subject .....	7
	10
Total .....	10

<b>Commission No. 4:</b>	
Experience .....	3
Practical .....	4
Oral .....	3
	10
Total .....	10

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Commission No. 5:	<i>Weight</i>
Experience .....	4
Special subject (written) .....	3
Special subject (oral) .....	3
	10
Total .....	10

This situation plainly indicates the need of scientific study of examining methods. Given the use of more objective methods in the devising of examinations, substantially the same relative weights would be assigned, of course, to examination factors used in selecting workers for the same type of employment, regardless of the civil service jurisdiction within which they are selected.

**The Written Examination.** The preparation and conduct of written examinations constitutes the most important single function of the civil service commission.

The written examination is intended to test the intellectual qualifications of the applicant for the line of employment in question. Other forms of examination may serve substantially the same purpose. Thus, the so-called practical examination, as used in testing clerical workers or skilled tradesmen, serves as a measure of special or technical knowledge. The so-called oral examination or interview may also serve as a means of determining the knowledge and intelligence of an applicant. All these forms of examination may have substantially the same function. These examinations will be considered here not under the heading of a common function, but under their customary civil service designations as written, practical, and oral examinations.

The written examination may test two essentially

<sup>1</sup> Messick, "Should the Weight to Be Given to Experience Be Variable or Constant in All Civil Service Examinations?" National Assembly of Civil Service Commissions, 1919.

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distinct phases of the intellectual equipment of an applicant: actual knowledge and intellectual capability. These functions of a written test, while not absolutely distinct, may well be considered separately.

A written examination may test actual knowledge. The actual knowledge of an applicant for employment falls, however, into two more or less distinct categories. It may be knowledge of a general nature or special knowledge concerning a particular trade or occupation. A written examination as used in selecting civil service employees is not concerned primarily with determining general knowledge or range of information. A measurement of general knowledge and education has considerable importance in selecting applicants for some types of employment, particularly those requiring initiative and originality. In selecting employees for most lines of work it has only a limited significance and is not commonly applied.

The written examination is of primary importance as a means of testing the special knowledge of an applicant concerning the line of work in which he desires employment. A measurement of special or technical knowledge is desirable in selecting workers for many forms of civil service employment. In most cases a written test, if properly devised, can furnish such a measurement with a fair degree of accuracy. In some lines of employment involving a high degree of technical knowledge, such as accountancy, civil service commissions have failed as yet to devise an effective test of special knowledge. There is, however, no reason why such tests should not be developed.

A written or question test, judging by the experience of the Committee on Classification of Personnel in the Army, may be effective not only in measuring special

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knowledge but also in measuring technical skill or ability. There exists a remarkably close relation between knowledge of the tools and processes used in a given occupation and actual skill or ability in the occupation. In the experience of the Committee on Classification, persons who possess occupational knowledge almost always possess occupational skill in about the same degree. The written examination, therefore, has an important part to play in selection. It is valuable both as a means of directly testing occupational knowledge and as a means of indirectly testing occupational skill or ability.

In preparing a written examination designed to test special knowledge of the work done in a given position, the materials entering into the examination should be assembled on the basis of a study of the specific duties of the position in question. This principle is now generally recognized by civil service commissions. Where printed specifications of positions have been prepared, the materials entering into the written test may be based in large part on the specifications. Where employment conditions have not been standardized, the examiner should base the written examination on a careful study of the duties of the position in question, coöperating in this study with the responsible administrative head. The analysis of the duties of a given position should be directed toward discovering all of the items of special or technical knowledge required in the successful execution of the duties of the position. It should also be so conducted as to bring out the relative importance of the various items of special knowledge required. This analysis will thus determine the scope of the written examination, and the various subjects that should enter into it. It should also afford a basis for assigning the

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proper relative weight to each of the various subjects comprising the written examination.

In the preparation of examinations, civil service commissions might well be guided by the methods developed in the field of mental measurement for determining the significance and effectiveness of different tests and test materials. A written examination is intended to separate the applicants who are qualified for a given line of employment from those who are unqualified. To what extent is a given test, or a given type of test, effective in achieving this result? Definite information on this subject would be a valuable means of control in the preparation of examinations. In order to answer this question it is obvious that the thing required is a comparison of the standing of candidates in a given test with their standing in productiveness or efficiency after a period of employment. Such a comparison would determine the extent to which those who stood highest in the test were rated highest in subsequent performance.

A comparison between a series of ratings in a test and a series of ratings of the same group of persons in subsequent performance may be worked out according to a mathematical formula, and is known technically as a correlation.<sup>2</sup> A low degree of correlation between a test and subsequent performance would show that the test was of little or no value as a means of selection. A high degree of correlation would mean that the same members of the group stood highest in the test and also in subsequent performance, and would be strong presumptive evidence of the value of the test as a means of separating applicants who are qualified for the line

<sup>2</sup> See Whipple, *Manual of Mental and Physical Tests*, 1910; also Link, *Employment Psychology*, 1919.



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of employment in question from those who are unqualified.

The conditions of civil service employment would seem to make possible, to an unusual degree, a successful investigation of the value of tests by the method of correlation. The relative standings of examinees are given. In the case of many lines of work the relative standings of employees in actual performance could be determined with a fair amount of accuracy by a proper use of efficiency ratings. The correlation of these two series of standings could be made a valuable instrument of control in the preparation of civil service examinations.

Assuming that a test had been devised which correlates well with a given occupation, in applying the test as a means of selection it is desirable to know the meaning of various scores or ranges of scores in the test in terms of the degree of occupational ability that they represent. This result can be accomplished by trying out the test on persons of known ability in the occupation in question. A fairly large number of such persons should be selected, and classified into at least two groups on the basis of their known ability, the range or extent of the classes depending, of course, upon the particular purpose in hand. If the test is now tried out on these groups of persons, the distribution of the scores will afford a means of interpreting the meaning of scores in the test in terms of occupational ability.

This problem was given particular attention in devising the trade tests used by the Committee on Classification of Personnel in the Army. After the tests had been assembled, they were tried out on four groups of persons, namely, experts, journeymen, apprentices in the trade in question, and novices or non-tradesmen. The

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method of interpreting the results so as to arrive at definite test standards has been briefly described as follows: <sup>3</sup>

As each question is allowed four points, it becomes necessary to determine how many points shall indicate an expert, how many a journeyman, etc. Obviously the way to do this is to note how many points were secured by the known experts and the known journeymen when they were tested. Ordinarily the expert scores higher than the journeyman and the journeyman higher than the apprentice. It frequently happens that a few journeymen score as high as the lowest of the experts, and a few apprentices as high as the lowest of the journeymen. There are consequently overlappings between the classes. In calibrating, the object is to draw the dividing line between classes so that the overlappings shall be as small as possible.

In the work of this committee it was found that, in order to achieve results of objective value, it was necessary to frame the so-called trade questions very carefully both as regards form and subject matter. The object was to secure questions that called for definite and standard answers, and that could be scored readily and with a high degree of accuracy. It was found advisable to use in the main only such questions as could be correctly answered with one, and only one, word, or at least with a sentence containing a unique keyword. Experience showed that questions thrown into this form were more effective than questions requiring a lengthy answer.

An analysis of the Army trade tests shows that the questions used (in the so-called oral tests) fall into nine principal categories. The questions call for either an operation, a reason, a result, a purpose, a name, a definition, a measurement, a location, or a shape. Fully 85 per cent of the questions used in these tests call for a

<sup>3</sup> *Personnel*, 1918, p. 28.

## RECRUITING AND SELECTION

name, such as the name of a tool, machine, machine part, or material. These questions occur in a variety of linguistic forms, such as:

- What is \_\_\_\_\_ called?
- What is used to \_\_\_\_\_?
- What is put on, fastened across, etc., \_\_\_\_\_?
- What locks, takes, holds, etc., \_\_\_\_\_?
- What is at, between, etc., \_\_\_\_\_?
- What kind of \_\_\_\_\_?
- What is \_\_\_\_\_ made of?
- What part of \_\_\_\_\_?
- What are the \_\_\_\_\_ parts, colors, etc.?

Questions calling for the explanation of a process or operation and questions calling for a reason were found to be of doubtful value, because they are often ambiguous and often permit of a great variety of more or less completely correct answers. They are frequently unfair to the examinee, and are difficult to score according to a uniform standard.

Some of the rules to be observed in preparing trade test questions have been stated by Max Watson as follows:<sup>4</sup>

1. Do not use a catch question. For example: "What kind of a lubricant is used when turning cast iron?" The answer would be, "No lubricant." Such questions antagonize the tradesman.

2. Do not use a question with a guess answer. For example: "On what side of a horse do you stand when you put on the harness?" The answer must be either "Right" or "Left" and, therefore, is of no value. Another form of guess question is the one with the "Yes" or "No" answer.

3. Use trade language. The vocabulary of a tradesman is limited. Usually he does not understand such terms as "adjacent to" or "significance of."

<sup>4</sup> Watson, "Trade Tests," National Assembly of Civil Service Commissions, 1919.

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4. Do not use a bad practice question. A good mechanic should not be expected to know how to do things the wrong way.

5. Be sure the meanings of all questions are definite. For example, such a question as this causes trouble: "How do you mix paint for a priming coat?" It can be answered this way: "Thin," "With plenty of oil," "In a bucket," "With a stick." They are all correct answers.

6. Do not use a question that calls for a long *explanation*. No two experts will judge such an answer alike and the non-expert is utterly lost in trying to compare the answer he may receive with any answer which will be given.

7. Be sure that the question involves only such knowledge as must come within the field of experience of a first-class tradesman. Nothing is more common than this statement: "A good man may not be able to answer the question, but he can do the work." This criticism is not justified if the questions are properly selected.

An example of a trade test, cited by Watson, is given below. It is a test for pattern makers (wood).

### QUESTION NO. 1

Q. What wood, besides pine, is most commonly used for making small patterns?  
A. Mahogany. Score 4.

### QUESTION NO. 2

Q. With what is the surface of a pattern coated to keep it from getting damp and warping?  
A. Shellac. Score 4.

### QUESTION NO. 3

Q. How is a pattern made so that it can be drawn out of the sand easily?  
A. Draft. Score 4.

### QUESTION NO. 4

Q. What is the box called in which the sand for a mold is rammed up?  
A. Flask. Score 4.

### QUESTION NO. 5

Q. For what is the allowance made on a pattern maker's rule?  
A. Shrinkage (contraction). Score 4.

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### QUESTION NO. 6

Q. What do you call the part of the pattern which is *above* the parting line on a two-part flask?

A. Cope. Score 4.

### QUESTION NO. 7

Q. What tool do you use to lay out a pattern with a 3-foot radius?

A. Trammels. Score 4.

### QUESTION NO. 8

Q. In making a large ring pattern, what are the separate parts called?

A. Segments. Score 4.

### QUESTION NO. 9

Q. What do you call a mold that has a metal face to harden the casting?

A. Chill. Score 4.

### QUESTION NO. 10

Q. What do you put on a pattern to support the core in the proper position?

A. Prints. Score 4.

An expert pattern maker would have no difficulty in answering all of the above questions. For the purposes of civil service examining, it would be desirable to devise tests somewhat more difficult than the above, and to allow a considerable range in score to correspond with what would commonly be considered expert trade ability. In this way it will be possible to differentiate carefully within the group composed of the highest grade candidates.

In selecting civil service employees the written examination may be used not only as a test of actual knowledge, but also as a test of mental capacity or intelligence. It is commonly recognized that a person who knows comparatively little about the duties of a given position when applying for employment may learn those duties, and in a short time surpass in effectiveness those who had a much greater degree of initial knowledge. In many lines of employment, the actual knowl-

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edge with which a worker enters upon the duties of a given position is of less importance than his ability to respond to new situations, to take hold of new duties readily; in short, his ability to learn. The ability to learn may be taken as a fair definition of intelligence.

General intelligence is of questionable significance in selecting workers for most lines of employment. It is a trait desirable in employees who are required to display a wide range of originality and initiative, and perhaps in those in whom the element of personality is particularly required.

Special aptitude, or what may be called special intelligence, is a trait which doubtless plays a considerable part in determining success in many occupations. Most lines of employment require for the highest degree of success some special form of ability or intelligence, although they do not require directly what may be called general intelligence. A test designed to measure this trait of special intelligence may well constitute a part of the written examination used in selecting civil service employees for a considerable number of important occupations.

The intelligence test should be based on a careful analysis of the kind of work in question, with a view to discovering the special forms of mental ability required. It should be carefully standardized, so that scores made on the test may be correctly interpreted in terms of the ability that they represent. The test must be scored with regard to both speed and accuracy. In order to give results of objective value, the intelligence test must be administered under carefully standardized conditions.

Some civil service commissions have made beginnings in the use of intelligence tests in examining applicants

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for certain types of employment. Chief Examiner J. C. Whitman of California has prepared a model examination for clerks (salary range \$75 to \$100), several parts of which are designed to test intelligence rather than actual knowledge. After analyzing the mental qualifications required for the occupation of clerk, Examiner Whitman concludes that persons are qualified for this occupation if they are

1. Accurate enough in their mental operations to be able to perform arithmetical computations without error.
2. Analytical and logical enough to solve mathematical problems involving analysis and reasoning.
3. Mentally alert enough to make required classifications from a complex list of statistical data.
4. Orderly enough in their way of thinking to be able to arrange given data in a prescribed, systematic and orderly fashion.
5. Possessed of sufficient knowledge and education to write the English language reasonably well and spell correctly.

On the basis of this analysis, Examiner Whitman has prepared an examination that contains, in addition to tests of spelling and letter writing, an easy and a difficult arithmetic test, a tabulation test, and an alphabetical arrangement test. The two tests last named are obviously tests of intelligence. The arithmetic tests are also, in large part, tests of intelligence.

In private employment, tests of intelligence are beginning to be introduced as a means of selection. An interesting discussion of work in this field has been written by Dr. Henry C. Link. In employing clerical workers, Dr. Link found the so-called "directions" test a useful means of selection. An example of a "directions" test is reproduced below:<sup>5</sup>

<sup>5</sup> Link, *op. cit.*, p. 410. The formula used for scoring the above test is explained on pp. 399-401.

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Instructions: "I am going to give you a number of directions, so listen very carefully and do exactly what I tell you to. For instance, I might ask you to fold this sheet of paper twice and then write your name near the top, like this [examiner demonstrates]. Be sure to listen carefully each time and as soon as I stop talking do exactly what I say. Are you ready?" The examiner then proceeds to give the following series of directions which he has carefully memorized beforehand. Each direction is to be given once only.

1. Draw a line three times as long as this one (showing a line 1 inch long).
2. Find the telephone number of \_\_\_\_\_ in the telephone directory and show it to me.
3. What time will it be in 20 minutes?
4. Find the address of \_\_\_\_\_ in the telephone directory and write it on this envelope.
5. Count the cards in this pile and write the number at the top of this paper.
6. Put a cross in the lower right hand corner of this paper and fold it so the cross will be inside.
7. Get a book on the second shelf of the cupboard and open to page 98.
8. Separate these clips so that there will be ten in one box, three in another, seven in the third and fourteen in the fourth.
9. Write the date at the top of this paper, your father's name in the center, and your address at the bottom of the other side.
10. (Examiner places a 25-cent piece and a 5-cent piece before the subject and a 25-cent piece and 10-cent piece before himself.) Out of the money in front of you, pay me 20 cents, using my money for change.

In employing stenographers, Dr. Link found the so-called "completion" test a useful aid in selection. An example of a "completion" test is given below.<sup>6</sup>

Instructions: "On each dotted line write the word which makes the best meaning. For instance [reading first sentence and pointing out the blank with a pencil], 'The kind lady *gave*

<sup>6</sup> *Ibid.*, p. 411. The formula used for scoring the above test is explained on pp. 399-401.



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the poor man a dollar.' Put only one word in every blank. Do this quickly and carefully. All right? Start." Allow subject 240 seconds. . . .

1. The kind lady \_\_\_\_\_ the poor man a dollar.
2. The \_\_\_\_\_ plays \_\_\_\_\_ her dolls all day.
3. Boys and \_\_\_\_\_ soon become \_\_\_\_\_ and women.
4. The poor baby \_\_\_\_\_ as if it were \_\_\_\_\_ sick.
5. The \_\_\_\_\_ rises \_\_\_\_\_ the morning and \_\_\_\_\_ at night.
6. The poor little \_\_\_\_\_ has \_\_\_\_\_ nothing to \_\_\_\_\_; he is hungry.
7. The boy who \_\_\_\_\_ hard \_\_\_\_\_ do well.
8. Men \_\_\_\_\_ more \_\_\_\_\_ to do heavy work \_\_\_\_\_ women.
9. It is a \_\_\_\_\_ task to be kind to every beggar \_\_\_\_\_ for money.
10. It is very \_\_\_\_\_ to become \_\_\_\_\_ acquainted \_\_\_\_\_ persons who \_\_\_\_\_ timid.
11. To \_\_\_\_\_ many things \_\_\_\_\_ ever finishing any of them \_\_\_\_\_ a \_\_\_\_\_ habit.
12. One's real \_\_\_\_\_ appears \_\_\_\_\_ often in his \_\_\_\_\_ than in his speech.
13. The knowledge of \_\_\_\_\_ \_\_\_\_\_ use fire is \_\_\_\_\_ of \_\_\_\_\_ important things known by \_\_\_\_\_ but unknown \_\_\_\_\_ animals.
14. \_\_\_\_\_ that are \_\_\_\_\_ to one by an \_\_\_\_\_ friend should be pardoned \_\_\_\_\_ readily than injuries done by one \_\_\_\_\_ is not angry.
15. To \_\_\_\_\_ friends is always \_\_\_\_\_ the \_\_\_\_\_ it takes.

**The Practical Examination.** A test of actual performance in the work in question is frequently used as a factor in civil service examinations. The practical test has a wide range of usefulness. It has been successfully applied in testing skilled tradesmen, stenographers, typists, comptometrists, inspectors of various types, engineers, etc.

The fundamental technique involved in devising and conducting performance tests is much the same as that discussed above in connection with written tests. In

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order to be effective, the practical test must be so constructed as to cover the essential points of the occupation in question. Furthermore, the test must be of such a nature that the product or performance of the candidate may be marked or scored according to definite standards. The standards used in gauging the work of the candidate should be based on a careful study of scores made in the past by persons of known occupational ability. The performance test may be so devised as to consist of a series of steps or operations. A definite time required for the completion of the test should be set as a standard. The performance of a candidate in the test may then be scored on the basis of the time consumed, and on success or failure in meeting standards set for the several operations composing the test.

In certain lines of employment, the performance test is by far the most effective means of selection. For example, in choosing an automobile truck driver the result of a well devised practical test would be in itself nearly conclusive. And in selecting employees for many lines of work the practical test should be given considerable weight. Wherever possible, it should be considered in the selection of clerical workers and skilled tradesmen.

This test has certain practical disadvantages. It frequently involves considerable expense for material and equipment. It requires a longer time to give than a corresponding written or oral examination. It must be administered under the direct supervision of an examiner who is an expert in the trade in question. This is not necessarily true of a written examination, which may be administered by a person not an expert in the occupation in question. Finally, a performance test involving the use of any considerable amount of ma-

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terial is difficult to administer in a civil service jurisdiction covering a large territory. The test cannot be taken to the applicants, and if the applicants are required to assemble at one point, the number of applicants appearing for examination will be cut down in an undesirable way. A performance test involving only a small amount of material, such as a test for typist or stenographers, if necessary, may be given at a number of different points throughout a large jurisdiction.

**Rating of Experience.** The rating of experience is a factor in most civil service examinations. The weight assigned to this factor must vary, of course, with the line of work in question. In selecting workers for some lines of employment, the rating of experience plays little or no part, while in selecting workers for other occupations it may rightly be considered of primary importance.

Civil service commissions have failed to reach a common understanding concerning the meaning of the term "experience." "In one instance 'experience' means experience only; in another it means experience and education; in another it means experience, education, and personality; in another it may mean experience, training, personality, and fitness involving the physical condition."<sup>7</sup> At the outset, therefore, a definition is necessary.

The word "experience" as used in this connection should denote (1) experience in the occupation in question, (2) experience in related occupations, and (3) vocational education closely related to the occupation in question. The term as thus defined denotes two forms of experience, and also what would be commonly called vocational training or education. The term "experi-

<sup>7</sup> Messick, *op. cit.*, p. —.

ence" should not include schooling or education that does not bear directly on the occupation in question.

A standard of experience may be set as a minimum qualifying condition of admission to a civil service examination. In this case, a candidate who does not possess the minimum of experience is not admitted to the examination, whatever his other qualifications may be. Again, a certain standard of experience may be set as desirable in a given line and grade of employment. In this case, a candidate is admitted to the examination whether or not he has had the experience represented by the standard, and his experience is rated along with other factors of the examination. A candidate who falls short in respect to experience may nevertheless be considered eligible for employment if he possesses qualifications that compensate for the lack of experience; and a candidate who had had extensive experience in the line of work in question is given a corresponding experience rating.

In order to reach results of objective value, a formal method of estimating the experience of candidates should be used. When a standard of experience has been set as a minimum requirement, it is sometimes difficult to tell whether a candidate meets this requirement. When a standard of experience has been set as a measure of possible credit, it is sometimes a difficult matter to tell just what amount of credit should be allowed the candidate. In both these cases, a rating scale, or rating key, is useful as a means of estimating the value of a candidate's experience.

In devising a rating scale for use in connection with a standard experience minimum, the chief problem consists in determining the precise forms of occupational experience or education that may be considered sub-

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stantially equivalent to the form specified in the standard. The various forms and lengths of experience substantially equivalent to the standard should be set out in detail, so as to serve as a guide in estimating the experience of the individual applicant.

The task of devising a rating scale for use where experience is counted as a positive factor in the examination is somewhat more complicated. The first item to be considered is experience in the occupation directly in question. A numerical value should be assigned to a length of experience in this occupation which is judged to be sufficient to make a man a journeyman or an all-round worker. Numerical values should then be assigned to parts of this period of experience, and also to terms of experience extending beyond this period. A maximum value should be set beyond which no credit is given for additional experience.

The second item to consider consists of experience in related occupations. In some instances the number of these related occupations is not great, while in others it is considerable. The related occupations should be ranked according to the degree in which they served as preparation for the duties of the position in question. Numerical values may then be assigned to the different lengths of service in these occupations, the maximum values decreasing as the occupations become less important as preparation for the duties of the position in question.

The third item to consider in devising a scale for rating experience is vocational training or education. The various forms and courses of training should be ranked in terms of their value as preparation for the duties of the position under consideration. Numerical values should then be assigned to lengths of training

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in the several courses, according to the method outlined above.

As a means of determining the total experience rating, a method should be adopted for combining the three component ratings. It would seem that they should not be combined merely by addition. Experience in a related occupation, if it occurs alone or only in combination with special education, should be allowed a greater weight than if it occurs in combination with a considerable length of experience in the occupation directly in question. A candidate who has had experience in a related occupation, but has not had experience in the occupation directly in question, should be given a greater degree of credit for experience in the related occupation than would be given to another applicant who had had this experience in addition to direct experience in the occupation under consideration. A candidate who is given credit for a considerable length of experience in the occupation in question should not be allowed much additional credit for related experience or vocational training.

In civil service practice the rating of experience is based in the first instance on information submitted by the candidate on the application form. This information is usually subjected to investigation. The investigation should be carried out in a thorough manner, and any applicant who is found to have misrepresented his experience or training should be disqualified from the examination in question and from future examinations as at least the minimum penalty.

In rating the experience of candidates, an average should be taken of ratings formulated by at least two examiners working independently. By using a rating key or scale of the type discussed above, examiners

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should be able to formulate reasonably objective and uniform ratings of experience.

**The Rating of Education.** A standard of education or schooling is frequently adhered to as a qualifying condition of employment. For clerical positions a common school education is usually regarded as a minimum requirement. For technical and professional positions a college degree is usually regarded as a qualifying condition. These requirements, of course, should be subject to exceptions. Provision should always be made for accepting the equivalent of a specified standard of education.

In selecting workers for the great bulk of civil service positions education or schooling as such should be considered only as a qualifying condition. Special or vocational education may be given a positive credit, but it should be rated along with experience. In some cases length of schooling throws light on the stability and other moral characteristics of the candidate, and may properly be taken into consideration in the rating of personality. But mere length of schooling is an unreliable index of the intellectual equipment and effectiveness of an applicant. For the most part education should be gauged not directly in terms of length, but indirectly in terms of the work done by the candidate in properly devised written and practical tests.

**The Physical Examination.** A physical examination is usually given to applicants for public employment. This examination should be based on carefully determined medical or physical standards. The appropriate physical standards differ widely throughout the range of occupations involved in a large system of public employment. These standards fall into a few main groups, determined by the physical requirements of the various occupations.

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The Civil Service Commission of the City of New York recognizes a distinct physical standard for each of the following groups of positions:

Positions requiring the least degree of physical ability and involving no physical risk. Examples: Clerical and stenographic positions.

Positions requiring a moderate degree of physical ability, such as would enable the incumbent to perform continuous outdoor labor, walk long distances, or carry small loads, such as field equipment. Examples: Positions in the inspectional service.

Positions requiring a high degree of physical ability, such as would enable the incumbent not only to perform severe manual labor, but to care for himself in accidents, such as the tipping of a scaffold or a ladder. Examples: Blacksmith, boiler-maker.

Positions in the police and fire service.

The physical standard for each of the above groups includes a statement of the principal disqualifying defects, of additional defects which disqualify when disabling, and of requirements concerning vision, hearing, strength and flexibility, and blood pressure.

For most positions the physical standard is merely a qualifying condition. If the applicant does not meet the requirement, he is disqualified, but if he does meet it, his general standing is not affected. This is true of the physical requirements set for positions in the first three groups named above.

The physical standard set for positions in the police and fire service is more than a qualifying condition. It constitutes a scale of possible positive credit. The physical examination in this case includes, in addition to the usual medical tests, various tests of strength and agility that are rated in much the same way that practical tests are rated in other occupations. This general



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method of defining and classifying physical standards, and of conducting corresponding tests is now in use by most civil service commissions throughout the country.

In recruiting unskilled laborers a physical standard should be maintained. The standard in this case is, of course, only a qualifying condition of employment. Inasmuch as this is the only standard that can well be enforced in recruiting unskilled laborers, it should be adhered to as strictly as possible.

**The Oral Examination.** An oral examination or interview is a factor in many civil service examinations, particularly in those conducted by state and local commissions.

In order to operate as an effective and equitable means of selection, the oral test must be conducted under conditions that insure that the judgment of the examiners is free from prejudice. An interview implies, of course, that the identity of the candidate is revealed, which is not true of the written examination as usually conducted. In the early days of civil service administration, the oral test was regarded with considerable distrust, as it was generally felt that it afforded little assurance that applicants of different political affiliation would be treated on an impartial basis. At the present time, however, this objection to the oral test does not apply to any considerable extent. We may assume that political prejudice has been eliminated from the conduct of the oral examination. But assuming this, there remain various common forms of human prejudice and fallibility that are extremely difficult to eliminate from an employment interview, whether conducted in connection with public or private employment. Under the most favorable circumstances, an interview has only a limited value, and perhaps a more limited one than is

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commonly supposed, as a means of selecting suitable employees.

As used by civil service commissions, the oral test assumes several forms, and serves several distinct purposes. Some commissions use an oral test as a means of determining the applicant's special knowledge concerning a given trade or occupation. If the oral test is conducted in an unsystematic manner, it is of less value in this connection than an appropriate written or practical test. But the oral test may be conducted in a systematic way and along lines substantially the same as those considered above in discussing the written examination. Thus, it may include standardized questions of the type used in the Army trade tests. If the interview is conducted along these lines, it has considerable value as a test of special knowledge and ability. However, the oral test as used by civil service commissions is not designed, as a general rule, for the purpose of determining the special knowledge of the applicant.

Some civil service commissions use the interview as a means of determining a proper experience rating. But the interview is not ordinarily regarded as the principal source of the data that should serve as the basis of the experience rating of a candidate.

The oral test or interview is generally regarded as concerned chiefly with the determination of personal qualifications. The interview may indeed throw light on the knowledge and experience of the candidate. But the rating of knowledge should be made mainly by means of a written test (or a formal oral test), and the rating of experience should be based mainly on data derived from other sources than the interview, which should be regarded mainly as an opportunity to assess the personality or personal qualities of the applicant.

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Forrest Wheeler, Secretary and Chief Examiner of the Minneapolis Civil Service Commission, in discussing methods of recruiting probation officers, makes the following statement: <sup>8</sup>

The oral examination was conducted on the basis of hypothetical cases which would be a test of the knowledge and activity of the intellect, and was used to further verify and elaborate the experience of the applicant without affecting the rating on the experience paper, and third, it was indirectly used to determine the desirability of the person from the standpoint of personality. In this examination it was felt that it was important that the probation officer have such a personality and disposition that he could readily win the confidence of the people with whom he was working. This was considered as a personal attribute and not necessarily dependent upon past experience or technical knowledge of the subject.

Taking the oral test to be concerned primarily with the determination of personal qualities, the extent to which this test is used, and the weight assigned to it, will depend upon the importance of personal qualities as a condition of success in various lines of employment. Personal and moral qualities are in some sense the necessary foundation of success in any occupation. But exceptional personal qualities are not needed for success in many lines of employment. Thus, in the skilled trades and in clerical pursuits they are not necessary conditions of success. On the other hand, in those phases of public work that involve administration, supervision, inspection, police protection, social service, etc., outstanding personal qualifications are often a primary condition of successful employment. The oral test or interview is mainly useful in making a selection of workers for this group of occupations.

To develop an objective method of rating the per-

<sup>8</sup> Quoted by H. N. Saxton, National Assembly of Civil Service Commissions, 1919.

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sonal qualities of applicants for employment is difficult if not impossible. It would be necessary to determine the particular personal qualities needed for success in the various lines of employment. To do this with precision is extremely difficult. In the second place it would be necessary to devise a method by which the personal qualities of individual applicants could be objectively measured on a basis of a comparatively brief interview. No such method has yet been devised.

It is possible, however, to introduce a certain degree of objectivity into the rating procedure used in the oral examination. The personal qualities needed in given occupations may be determined and defined with some degree of accuracy. Moreover, methods of assessing the personal qualities of candidates may be followed which make possible a considerable improvement over the results obtained by the ordinary methods of personal impression and "snap" judgment.

A general list of personal attributes that has been used in a large educational institution as a basis for rating personality, is reproduced below:<sup>9</sup>

1. Mental caliber, intelligence, "head."
2. Maturity, common sense, judgment, tact.
3. Earnestness, industry, seriousness of purpose.
4. Reliability, dependability, deportment, coöperation.
5. Alertness, resourcefulness, initiative, "on the job."
6. "Push," energy, vigor, vim, "pep."
7. Leadership, executive ability, efficiency.
8. Accuracy, neatness, skill, dexterity.
9. Address, manner, appearance.
10. General education, culture, refinement.
11. Capacity for growth.
12. Fitness for line of work chosen.

This is a fairly comprehensive list of personal attributes. On the basis of some such list as the above,

<sup>9</sup> Quoted by Link, *op. cit.*, p. 334.

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the particular personal qualities required for success in different forms of public employment should be decided upon and defined as accurately as possible.

The method used in assessing the personal qualities of an applicant for employment should involve a comparison of the applicant in respect to these qualities with other persons who are taken as standards. The object is not to determine whether the candidate simply has or has not a given characteristic, but to determine the degree in which the candidate possesses the characteristic in question. To do this the population as a whole, or the personnel of a given organization, may be divided into groups, according to the degree in which it possesses a given personal characteristic, and these groups may be taken as standards of comparison. Thus, the employees of a given department may be grouped in respect to a certain personal quality as exceptionally poor, noticeably poor, average, noticeably good, and exceptionally good. These persons as thus grouped may serve as standards of comparison. The candidate may then be classified in respect to the characteristic in question by comparing him with these standards. If the groups or classes are numbered, a numerical value may be assigned to the standing of the candidate in respect to the characteristic in question. A summation of the degrees in which a candidate possesses various personal qualities required for success in the occupation in which he seeks employment will yield a numerical expression of the rating of the personal qualities of the candidate.

In considering the personal qualities of employees or of applicants for employment it is well to avoid the fallacy of assuming that these qualities are necessarily fixed and absolute. In fact, they frequently are not fixed

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and absolute, and depend largely on the circumstances under which they are manifested.

One of the great errors which employment managers, foremen, superintendents, and all other people, including teachers, ministers, and religious workers fall into, is the belief that the moral qualities are *absolute* qualities. They believe that if a man is lazy, he *is* lazy. If he is industrious, he *is* industrious. If he is cheerful, he *is* cheerful. If he is disloyal, he *is* disloyal. If he is ambitious, he *is* ambitious. If he is good, he *is* good. And if he is bad, he *is* bad. In other words, they labor under the belief that the moral qualities are constant qualities which are an inseparable part of a human being as scales, fur, and hide are an inseparable feature of the fish, the dog, and the elephant; and further, that no matter where people are and what they are doing, their moral qualities are an invariable part of their nature. Nothing could be farther from the truth. The moral qualities are not absolute.<sup>10</sup>

It must be admitted that moral and personal characteristics are sometimes deeply rooted features of personality, and to all intents and purposes ineradicable and absolute. But in many cases these characteristics do not inhere absolutely in employees, but are relative to the manifold conditions of employment.

**Advertising Civil Service Examinations.** In order to be effective as a means of recruiting, a civil service examination should be conducted well in advance of the time at which new employees are actually needed in the service. It should be planned in advance of the time at which it is to be held, and in response to the needs of the service as revealed by a study of the number of eligibles available and of the fluctuating needs of the various departments. In order to attract well qualified candidates in large numbers, the examination must be properly advertised.

Civil service laws usually provide in general terms

<sup>10</sup> *Ibid.*, p. 202.

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for the advertising of examinations. Thus, the civil service act of New Jersey provides that notice of examination "must be given in such manner that all persons interested in such examinations may have an opportunity of learning of the time, place, and conditions of such examinations." Such a provision is designed to insure that well qualified persons shall be attracted to civil service examinations and also to afford an equal opportunity to all members of the community to compete for public employment.

Most civil service commissions issue an official bulletin containing announcements of examinations. In the large jurisdictions, commissions make use of additional means of publicity: the daily newspapers, trade and professional publications, civil service papers, mailing lists, and bulletin boards.

Commissions in the larger jurisdictions insert in the daily newspapers announcements of the more important examinations. Some of the daily papers give a considerable amount of free publicity by maintaining a civil service news department. Commissions advertise examinations of skilled and technical workers in appropriate trade and professional publications. They also advertise largely in papers devoted directly to the interests of civil service employees, where such papers are available. These publications reach a large number of public employees and other persons interested in civil service matters and afford very valuable channels of publicity. Commissions also mail announcements of examinations to selected lists of organizations and institutions, such as clubs, settlement houses, societies, civic organizations, public schools, colleges, labor unions, etc. Notices of examinations are also posted on bulletin boards in railway stations, post offices, public

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libraries, etc. These notices are sometimes prepared in the form of attractive posters.

Some of the larger commissions issue annually a manual of civil service examinations, and at more frequent intervals extensive circulars. The Wisconsin Civil Service Commission issues a biennial circular that contains explicit information concerning the following matters: application; signatures of candidates; change of address; subjects and weights of examinations; experience papers; examination numbers; what the candidates are to bring to the examination room; fair treatment guaranteed all candidates; notice of standing to competitors; eligible lists; recommendations; political and religious affiliations; correspondence; inquiries; and specimen of questions.

The matter used in advertising civil service examinations should follow a fairly well defined outline. It should contain the standard title of the position to be filled; a statement of the duties involved in the position; a statement of the rate of compensation and of the opportunities for advancement; a statement of the scope and factors of the examination; a statement of qualifying conditions; and a statement of the time and place of the examination, and of the time for filing applications. This information should be set out in a form intelligible to one entirely unfamiliar with civil service practice and regulations.

**Certification and Appointment.** The civil service commission serves as an examining board, but does not actually appoint public employees. It prepares lists of eligible candidates, and in response to requisitions certifies those candidates to appointing officials. The heads of the various departments and bureaus actually hire or appoint public employees.



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The commission usually certifies three eligible candidates for each vacancy. The administrative head then appoints one of these three candidates. This practice of appointing one out of three eligible candidates is well justified. The rule of "one in three" is a necessary means of securing a proper location of responsibility. While it insures the accomplishment of the main objects of the merit system, it allows, at the same time, a certain degree of liberty to the administrative head in the selection of his subordinates. Where this rule is not followed, a department head cannot be held definitely responsible for the work accomplished under his direction. If employees are chosen directly in response to recommendations of the civil service commission, a department head always has a legitimate excuse for waste and ineffectiveness in the conduct of the business of his department. If the department head is allowed to choose one out of three eligible candidates, he becomes in large measure responsible for the choice of his subordinate force—in as large a measure perhaps as is feasible in public employment—and responsible in a corresponding degree for the effectiveness with which the work in his department is accomplished.

The practice of allowing the administrative head to select one of three eligible candidates is desirable in the interest of an effective selection of employees. No method of examination is infallible. No method of examination yields correct results in all cases. At the same time the judgment of the administrative head is not infallible. It is highly probable that, so far as the technical fitness of an applicant is concerned, the judgment of the administrative head is less reliable than the recommendation of the civil service commission, based on the results of proper examining procedure.

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But the judgment of the administrative head should be allowed to have decisive weight in one particular, namely, as regards the personal qualifications of the applicant. The judgment of the administrative head is not necessarily better in this respect, but for obvious reasons it should have a determining influence. The candidate must not only be fitted for a certain line of work, but he must also possess personal qualities that will enable him to work effectively and harmoniously in a given organization. The administrative head, under certain restrictions, should be the judge of whether the candidate possesses those qualities. The rule of "one in three" usually enables him to select with due regard to the factor of personal qualifications.

✓ Administrative heads appoint public employees for a period of probation, usually six months, before making a final appointment. The period of probation is intended to offer an opportunity for observation of the actual work of new employees, and thus to afford a basis for final decision as to their fitness for public employment. In practice the period of approval or probation is generally treated in a perfunctory manner, and final appointment follows more or less automatically. This practice is to be deplored. The period of probation should be used as an opportunity to make a real and useful observation of the work of new employees. It should be used as an opportunity to correct mistakes of examining procedure and to refuse final appointment to unqualified employees. It should also serve as an opportunity to adjust new employees to their work, and, wherever a sufficient range of occupations exists, to fit new employees to the particular assignment within the line and grade of employment in question for which they show themselves to be best qualified.

## CHAPTER VII

### TRAINING

In private enterprise, the instruction and training of employees, after they have been hired, is recognized as an important part of personnel administration. In the civil service the training of employees has been given comparatively little attention. In order to improve the efficiency and morale of the civil service, the systematic training of the men and women in the service must be recognized as an important employment function. But before discussing this question of the training of employees already in the service, it will be well to consider the education and training of men and women for original entrance to the public service.

**Training for Entrance to Public Employment.** Civil service commissions are not primarily responsible for the training of men and women for admission to the civil service. The educational agencies of the country—the public schools, the colleges and universities, and the various private educational establishments—are primarily responsible for this training. However, civil service commissions have a certain duty in this connection. In order to measure up fully to their opportunities, they should coöperate with the educational agencies of the country and endeavor to direct vocational education in such a way as to make it productive of men and women who are fitted in a high degree for effective service in government employment.

Many civil service employees do not require any con-

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siderable degree of vocational training as a preliminary to their entrance to public employment, or at least do not need preliminary training of a kind in any important sense peculiar to the requirements of public employment. For example, a stenographer in a government department does not need training essentially different from that of a stenographer in a private business concern. A machinist who desires work in a government arsenal does not need preliminary training different from what he would need in private industry. A chemist who desires work in a city health department often does not need preliminary training different from what he would need in many lines of industrial enterprise. Many workers in the government service need preliminary training, but they need only such training as they would need in similar work in private employment. The training of these workers presents, therefore, no peculiar problem to those interested in the improvement of the civil service personnel.

But some civil service employees, usually those who occupy the higher positions, might well have extensive preliminary training of a kind peculiar to the requirements of public employment. For example, some of the scientific and technical workers in government departments may well have special preliminary training of a unique character.

Training designed to fit workers specially for the public health service is now offered at the Harvard Medical School. Special training for engineering employees in the public service is offered at Columbia University, Pratt Institute, and the Massachusetts Institute of Technology. Similar technical training is offered in other institutions throughout the country. Special training for the work of public administration

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in a more general sense is now offered at the state universities of Wisconsin, Minnesota, and Michigan, and at other universities. Training for the consular service is offered at the University of Virginia. Training in public administration, with special reference to the problems of state and city government, has been given since 1912 by the Training School for Public Service of the Bureau of Municipal Research in New York City, now the National Institute of Public Administration.

The training in public administration given in these schools includes subjects such as administrative law, government accounting, taxation, finance and budget-making, scientific management, public administration, public works management, statistics and graphic presentation, preparation of reports, personnel problem in government, problem of departmental organization, city planning, etc.

These facilities might be enlarged by the establishment of special schools devoted to the single object of preparing men and women for admission to public employment. The more immediately feasible way of extending facilities for training for the public service, however, would seem to lie in the establishment of the requisite training courses in existing schools and universities.

Special training for the public service should be in the highest possible degree practical. It should avoid the mistake of merely providing students with "book learning." Such training will naturally include a certain amount of theoretical study, but it should also include practical contact with the processes of government administration, comparable to the shop work done by engineering students or clinical work done by students of medicine. To a limited extent suitable arrange-

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ments could be made between educational agencies and our various governments, whereby advanced students might participate in, or at least observe at close range, the technical and administrative work of government departments. The practical experience gained by students in actual work in government departments should form an integral part of their special training for the public service, and should be given definite academic credit.

To put training for the public service on a practical basis, a close contact should also be established between the educational agencies offering this training and the various civil service commissions responsible for recruiting government employees. At the present time, such contact is practically non-existent. There is very little of the coöperation between schools and government recruiting agencies that is needed to insure that the training offered in the schools is calculated to fit young men for the actual requirements of the public service, and to assure those who have completed courses of special training that they will find places in government employment. To remedy this situation, civil service commissions should furnish the proper educational agencies with information concerning the qualifications and training needed for the scientific and administrative positions under their control, and also with definite information concerning the present and probable future demands for workers to fill these positions. If this plan is followed, the heads of educational agencies will be in a position to give intelligent vocational guidance to those who wish to take training for admission to public employment. Civil service commissions, moreover, should do everything properly within their power to facilitate the placing of well trained and well qualified

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persons in public employment. They cannot guarantee positions to graduates of educational institutions, but they should depart from any attitude of indifference and should facilitate, in every legitimate way, the transition from training for the public service to actual employment in public service. In doing this, it goes without saying that they should not jeopardize the opportunity of qualified persons who have not had special academic training.

A system of training for the public service takes for granted that the public service itself is genuinely attractive. It is obvious that ambitious and capable young men, who face the need of earning a livelihood, will not as a general rule enter upon a course of training unless it leads with reasonable certainty to a satisfactory career, particularly as respects the basic item of compensation. A system of training lacks an effective reason for existence unless it leads to a genuinely attractive vocation. The public service at the present moment falls short in several important respects of being an attractive calling. A system of training for the public service will be established on a large scale and will operate properly and effectively only on condition that the public service itself be made genuinely attractive.

### **Training for Increased Usefulness in Public Employment.**

In progressive private establishments, "following-up" the worker after he has been hired is recognized as an important employment function. This involves inducting the worker into his new employment, the shifting of old employees to positions in which they will be most effective, and, in general, the adaptation of the personnel to the varied and changing requirements of the establishment in question. The basic idea back of such work is that it pays in dollars and cents to retain and develop

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the personnel of an establishment rather than to replenish it continually by a stream of new and inexperienced employees.

The follow-up function of the employment bureau resolves itself into the difficult one of vocational guidance. The *esprit de corps* of the entire plant depends on the employment manager's skill in directing the promotion of the employee as rapidly and no more rapidly than his ability warrants; in adjusting causes of difference between workers and foremen; in eliminating general causes of dissatisfaction; and in placing a "misfit" or failure where he will "make good." It is this function which is the most important, least developed, and most interesting part of the work of a centralized employment bureau.<sup>1</sup>

Follow-up work includes as a major function the instruction and training of employees. In private enterprise the training of employees is now given a large amount of attention. It is carried on extensively in so-called corporation schools of three fairly distinct types; namely, vestibule schools, apprenticeship schools, and vocational or training schools. The vestibule school, as the name indicates, is an entry way through which employees pass for several weeks' training immediately after their employment. The apprenticeship school is one in which boys or young men are given thorough training in a trade, extending over a period as long as three or four years. The so-called vocational or training school usually offers a fairly wide range of subjects, and is intended to fit employees for greater usefulness and advancement within the plant or office in question. The instruction usually occupies from three to nine hours a week and is usually given after working hours, in the late afternoon or evening.

To a very limited extent the training of employees

<sup>1</sup> "Hiring and Firing," Metropolitan Life Insurance Company, Industrial Service Bureau Bulletin No. 1, p. 39.



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has been undertaken in civil service employment. This training has usually been undertaken on an independent basis by the various government departments concerned. In the national service, the Bureau of Engraving and Printing has a four-year course for apprentices. The Washington Navy Yard also has a course for apprentices. The Bureau of Internal Revenue conducts a course for the training of auditors. The Interstate Commerce Commission conducts courses designed to prepare workers specially needed in this organization. The Bureau of Standards conducts advanced training courses in physics, mathematics, and chemistry, having special reference to the needs of the Bureau. In spite of these efforts to provide special training for workers in the service at Washington, it is estimated that "less than 10 per cent of the offices and bureaus make any systematic efforts to train new employees for their work or old employees for greater efficiency."<sup>2</sup>

The state governments have done practically nothing to provide systematic training for public employees.<sup>3</sup>

Some of the larger city governments provide to a limited extent for the training of public employees. Some of them conduct what may be called vestibule schools for the training of members of the fire and police departments, and also for the members of the various inspectional services. Some conduct "apprenticeship" courses for the preparation of trained nurses in city hospitals. New York City, through the agency of the Board of Education and the College of the City of New York, offers to municipal employees special training courses in bookkeeping, stenography,

<sup>2</sup> Report of the Congressional Joint Commission, 1920, part I, p. 118.

<sup>3</sup> The State of Wisconsin is an outstanding exception. It has made considerable progress in the training of public employees.

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business English, commercial arithmetic, algebra, municipal accounting, and municipal statistics. These courses are offered free of charge or at nominal expense, and are conducted after working hours. During the past year about 450 students have been enrolled in these courses.

The systematic training of the men and women in the public service has not been given the attention it deserves. It has not been given attention at all comparable to that given to the training of workers in private employment, or the attention which it must have, if the members of the civil service are to be stimulated to their best efforts and developed to the full extent of their capabilities.

The vestibule school should be used more extensively as a means of adjusting the recruit to the conditions of his new employment. The apprenticeship idea should be applied more generally. Most important of all, the service or training school should be given a wider application. It should be made a means of adapting present employees to new requirements of the service, of facilitating promotion, of stimulating interest and enthusiasm, and generally of increasing the morale and efficiency of public employment.

In the case of the Washington service, a central training school for national employees might be established. A recent report of the Bureau of Efficiency proposes that such a school be established. Discussing the curriculum to be offered in such a school, the report points out that the government in choosing subjects of instruction would be guided

by the need of giving instruction fitted to its own purpose and by the desirability of avoiding duplication of courses offered by other schools. It would not attempt to offer courses on

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general high school and college subjects, such as algebra, physics, biology, economics, and the languages. Furthermore, it would not teach trade and commercial subjects, such as mechanical drawing, nursing, or engineering. The government school should limit itself to courses which are not given in other schools, or which are taught in a manner that leaves out of consideration the particular needs of the government.<sup>4</sup>

The report suggests the following tentative schedule of studies:

- Bookkeeping and elements of accounting.
- Government accounting.
- Elements of statistics.
- Government statistics.
- Filing systems and labor saving devices.
- Government office procedure.
- Use of business English.
- Executive management.
- Organization of the national government.
- Administrative law and statutory construction.
- History of the national government.

It is proposed that the teaching staff of this school be recruited from qualified members of the civil service in Washington.

In response to a questionnaire sent out by the Bureau of Education in October, 1918, over eleven thousand national employees in Washington declared their intention of enrolling in a government school of the kind projected. Of this number "8,804 were willing to pay tuition at the rate of \$4 a month if necessary." About half of the total number intending to enroll declared that they wished instruction for the purpose of securing further advancement in government work. A training school of this kind might be placed under the supervision of the Civil Service Commission, provided this body underwent the requisite reorganization.

<sup>4</sup> Senate Document No. 246, Sixty-sixth Congress, second session, p. 3.

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A central training school, however, would not be adequate to all the needs of the Washington service. Many of the courses of advanced and highly specialized training, as well as the courses designed to introduce new employees to their duties, will naturally have to be given by the various departments and establishments concerned. These courses of training should be subject to a certain amount of centralized regulation. The power to install such courses of training, to coördinate them and adjust them to the needs of the service as a whole, might well be placed in the hands of the Civil Service Commission.

In the case of a state government, or of a city or other local government, an independent training school of the kind discussed above is hardly feasible or necessary. The training school may well take the form of a group of courses given by outside educational agencies under the auspices of the government and especially adapted to the employment requirements of the government. To a certain extent special courses may well be given by the various government departments. Moreover, annual institutes or conferences, offering several weeks' intensive training, may well be conducted for the benefit of special classes of public employees, such as plant engineers, highway engineers, income-tax assessors, health officers, dairy and food inspectors, etc. Such "group schools" are now used successfully in Wisconsin, and might well be conducted more generally.

The training intended for apprentices, as well as that designed to adjust new employees to their immediate duties, should be given by the various government departments directly concerned.

The activities undertaken by a state or city government for the training of public employees should be

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placed under the general direction of the civil service commission. The commission cannot be a training agency, in the sense that it actually gives training and instruction, but it should have the duty of furthering the training of public employees in every way possible. It should recommend and initiate courses of training, coordinate the training efforts made by the different departments, and enlist the services of outside educational agencies.

The training of employees within the public service, as well as the training of prospective entrants to the public service, presupposes an effective motive or incentive. Employees cannot be expected to manifest any considerable interest in training for increased usefulness unless this training leads to substantial rewards in the form of greater responsibility and increased compensation. As has been pointed out the public service generally does not at the present time hold out these rewards to employees to the extent that is desirable. Advancement and promotion are often slow and uncertain; opportunities for transfer from one government department to another are often surrounded by artificial and useless restrictions. To make training within the public service really effective and to insure the retention of those who have been specially trained, opportunities for transfer, advancement, and promotion in the public service must be extended. Given this condition, and also appropriate provision for training, we may expect to see the development of an interested, contented, and truly efficient civil service personnel.

## CHAPTER VIII

### RATING AND CONTROL OF INDIVIDUAL EFFICIENCY

**The Problem of Efficiency Ratings.** A rating of individual efficiency is intended to be a measurement of the value of the services rendered throughout a given period of time by an individual employee. It is intended to be objective and impersonal, or as nearly so as is possible. Such a rating, in so far as it is truly objective, has obviously a considerable value in employment administration. It affords the basis for handling problems of retention and promotion, in the way the rating on the civil service examination affords the basis for handling the problem of selection.

A formal and objective rating of individual efficiency is needed in any large system of employment as a means of reducing to a common denominator the value of the services of employees who are often engaged on highly specialized and divergent lines of work, and who are often without immediate contact with the management. In a large system of employment, a formal rating of efficiency is a useful means of securing a uniform and enlightened practice in the retention and advancement of employees.

A formal rating of individual efficiency is needed more urgently in public than in private employment. In addition to the reasons that make it useful in any large establishment, an objective rating of individual

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efficiency is needed in public employment because of political considerations. Just as an impartial rating on examinations is needed to safeguard the entrance to the public service, so an objective and impartial rating of individual efficiency is needed to safeguard the processes of advancement and promotion within the service from partisan influence. An objective rating of individual efficiency is needed as a basis for the administration of salary increases and promotions in accordance with the merit principle.

This fact has found general recognition. Civil service laws generally provide that records of the relative efficiency of public employees shall be maintained and used as the basis of retention, advancement, and promotion. In accordance with these laws various systems of determining and recording individual efficiency have been installed, sometimes by civil service commissions, sometimes by government departments. Many of these systems have proved to be more or less unsuccessful experiments. But the need of a method of determining individual efficiency is real and urgent; and it must be met if the administration of public employment is to be put on a uniform and equitable basis.

The successful maintenance of individual efficiency records in public employment requires two principal conditions. It requires a proper rating system; that is, a system that makes possible a reliable and not too complicated measurement of individual efficiency. The devising of such a rating scheme or system is essentially a technical problem, and one of no mean difficulty. Moreover, it requires a properly conceived and properly controlled rating organization; that is, an organization through which individual efficiency ratings are initially prepared, reviewed, recorded and applied. The estab-

lishment and control of such an organization is essentially a problem of administration, and requires for its solution the ready coöperation of the civil service commission, department and bureau heads, and subordinate employees.

**The Rating System.** In devising a rating system it is necessary to begin by analyzing the meaning of individual efficiency. If the factors which enter into individual efficiency can be determined, and if these factors are measurable, the basis of a fairly accurate estimate of individual efficiency is laid.

The factors that enter into individual efficiency depend somewhat on the particular employment in question. It is difficult to determine factors of efficiency that enter in precisely the same way and with precisely the same weight into all forms of employment. This difficulty can be met, in part, at least, by assigning different weights to the several factors of efficiency in the different types of employment in question.

A rating system to be useful in public employment, or indeed in any form of employment, must meet the primary requirement of simplicity. A complicated rating system, however scientifically accurate it may be, will prove unworkable when placed in the hands of rating officers throughout a large system of employment. The success of many of the rating systems introduced into public employment has been greatly diminished by the neglect of this primary consideration.

The rating system used by the Municipal Civil Service Commission of New York City is perhaps the most successful in use at the present time in public employment.<sup>1</sup> This system is now applied in rating—three

<sup>1</sup> Regulation XIII, of the General Regulations, Municipal Civil Service Commission of the City of New York, 1920, p. 3.



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times annually—the competitive personnel of all the city departments, excepting the uniformed force of the police and fire departments. The system recognizes three positive factors of efficiency: (1) quantity of work, (2) quality of work, and (3) personality. In addition to these, it recognizes as negative factors (4) unexcused lateness and absence, and (5) misconduct.

Quantity of work is explained as including “volume of work output, speed, industry; in case of positions partly or wholly supervisory, the quantity of group output.” Quality of work is explained as including “thoroughness, accuracy, system; initiative, ingenuity, resourcefulness; improvements in technique and organization of work; in the case of positions partly or wholly supervisory, decisiveness, force, poise; ability in planning and organizing work and in directing subordinates; quality of group output; in the case of positions involving contact with the public or with persons under the city’s care or custody, tact, courtesy, and other personal elements affecting the quality of results.” Personality is defined as including, “willingness, loyalty, influence on fellow workers.”

This system provides for a rating on a percentage basis. The factor of quantity of work may be given a maximum rating of 44 per cent. The factor of quality of work may also be given a maximum rating of 44 per cent. The factor of personality may be given a maximum rating of 12 per cent. A uniform weight is assigned to each of these factors in all lines of employment. The standard is fixed in the case of the factors of quantity and quality at 35 per cent, and in the case of personality at 10 per cent. An employee who receives a rating of standard in respect to each of these three factors has, therefore, a numerical standing of 80

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per cent. The standard is explained as being "the normal performance of any work which may be properly assigned to an employee." It represents the work of the great bulk of employees. The Commission requires that, under ordinary circumstances, 60 per cent of the employees of a large unit shall be rated "standard," 35 per cent above standard, and five per cent below standard. All ratings above or below standard must be supported by an adequate statement of the facts of service in question.

For unexcused lateness and absence, and misconduct, deductions may be made from the rating awarded on the basis of the three factors discussed above. In making these deductions considerable discretion is allowed the rating officer. A deduction of from one to ten per cent may be made for each unexcused lateness or absence; and a deduction of not less than one per cent is required for each specific act of misconduct, the maximum amount being left to the discretion of the department. The regulations require that these deductions "shall be in proportion to the character of the employee's work and the relative seriousness of the offense at the time of its occurrence, due regard being given to its effect on departmental discipline and efficiency."

This system comes nearer to meeting the requirements of public employment than any other system that has been proposed. It has the advantage of being comparatively simple and therefore feasible when put into actual operation. By defining the percentage of employees of a large group that shall fall in the three classes—standard, below standard, and above standard—it establishes a basis for comparisons of individual efficiency. It employs a numerical scale that makes pos-

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sible an immediate combination of efficiency ratings with the other ratings that enter into the determination of the standing of an employee in a promotion examination. Most important of all, it is based on a comparatively sound analysis of the factors of individual efficiency. It recognizes the fact that in estimating the efficiency of an employee we are primarily interested in the quantity and quality of his output, that is, in his productiveness. It avoids the mistake of analyzing efficiency in terms of factors that are of doubtful importance, or that, if important, are difficult or impossible to measure objectively. This mistake has frequently been made in devising rating systems. For example, the system installed in 1914 by the Chicago Civil Service Commission used the four principal factors of ability, activity, economy, and reliability. The rating system installed in 1914 by the Civil Service Section of Portland (Ore.) made use of the three principal factors of ability, effectiveness, and personality.

Ability as such is a difficult thing for a rating officer to gauge, and it is not a factor of primary importance in making a rating of efficiency. In making an efficiency rating we are directly interested not in the ability of an employee but in his actual performance in a given position. The New York rating system recognizes this fact in selecting quantity and quality of work as the principal factors of efficiency. This system lacks the flexibility that would be desirable in an ideal rating system. It assigns a uniform weight to the various factors of efficiency regardless of the kind of employment in question. In fact, each of the three positive elements of efficiency plays a larger part in some lines of work than in others. For example, the factor of personality is certainly more important in executive work

than in routine clerical occupations. This consideration is recognized in the rating system used by the Portland Civil Service Commission. The Portland system permits the assignment of different weights to each factor according to the character of the work in question. This device accomplishes a comparatively close adaptation of the rating system to the peculiarities of the various classes of employment. It must be used with caution, however, or the rating system will become too complicated for practical purposes.

**The Rating Organization.** The civil service administration should exercise a general supervision and control over the installation of rating systems. In some cases, particularly in the national government, the several departments have installed rating systems on their own initiative. There is no objection to this, but it is desirable that the work of installing rating systems be undertaken in coöperation with the civil service commission to the end that, as far as varying conditions permit, uniformity shall prevail. Certainly, the civil service commission should have the responsibility of seeing that proper rating systems are employed, and of taking the initiative in this matter.

Moreover, the civil service commission should have powers of supervision and control over the actual operation of the rating system.

In carrying out this work of supervision and control, the civil service commission in a large jurisdiction requires the services of a special efficiency staff, members of which keep in constant touch with rating officers, and represent the commission on the various personnel committees responsible for the review and certification of ratings.

An officer or employee who is in fairly immediate

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contact with the employees to be rated, and who is thoroughly familiar with the circumstances of their service, should prepare the initial ratings of individual efficiency. He is ordinarily known as the "rating officer." The rating officer should be designated by the service head. It is desirable to select a rating officer who in all probability will not compete at any time in a promotion examination with the employees whom he is required to rate. The degree of fairness and insight shown by the rating officer in assigning efficiency ratings should be taken into account in the determination of his own efficiency.

In the case of a large organization, the rating officer should cooperate with a representative of the civil service commission. He should be guided by instructions and suggestions from the commission. These instructions should be issued, wherever possible, in printed form, and should contain a definite explanation of the factors and standards to be used in determining efficiency ratings.

In most cases it is desirable that a committee or board should review, and where necessary, modify the initial ratings prepared by the rating officer. There is an advantage in having the reviewing committee or board contain a representative of the civil service commission. The New York City regulations provide that this representative "shall be ex-officio member without vote of every bureau committee and inter-bureau committee and of the personal board of such department, and shall be notified by writing in advance of all meetings of such committees and board."<sup>2</sup>

**Preparation of Ratings.** Efficiency ratings are sometimes prepared by using a separate form for each in-

<sup>2</sup> *Ibid.*, p. 5.

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dividual. Sometimes they are prepared on a form that shows the ratings of all the employees of an organization unit. The New York City Commission requires ratings on separate forms for all employees who are rated above or below standard. It permits the submission of a list of all the employees of a department whose services are rated at standard. This plan is a convenient one. It requires the submission of detailed ratings only in the case of employees who fall below or above the standard, that is, in the case of about 40 per cent of the total number of employees. Ratings should be made at definite intervals throughout the year. Experience has shown that ratings should not be required too frequently. Where they are required as frequently as once a month the preparation of ratings tends to degenerate into an entirely perfunctory procedure. Efficiency ratings, after they have been prepared and finally reviewed, should be open to the inspection of the civil service commission.

**Inspection of Ratings by Employees.** Each employee should be allowed to inspect his own rating, and also the ratings of fellow employees with whom he may be expected to compete for promotions. He should also have the right of asking that the matter of his rating be reopened. In extreme cases the matter might be called to the attention of the civil service commission. The New York City regulation covering this point is stated as follows: <sup>3</sup>

Said appeal shall be in duplicate and shall set forth the facts establishing the candidate's claim to a different rating. Upon receiving said appeal a copy thereof shall be transmitted by the Civil Service Commission to the Personnel Board which shall within ten days thereafter file with the Commission its

<sup>3</sup> *Ibid.*, p. 6.

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written answer thereto. Upon said appeal and the answer thereto the Commission shall make such ruling as justice requires.

It is very much of a question, however, whether in the case of many governments any such powers should be vested in the Civil Service Commission. In most cases it is sufficient that the commission have the power of inspection and making known its conclusions.

**The Use of Efficiency Ratings.** Efficiency ratings, if they are sufficiently reliable, may be applied in a number of important ways in the administration of public employment. They may be used in checking up the effectiveness of examining procedure. If investigation shows that the employees who receive the highest efficiency ratings are also those who received the highest ratings in the entrance examination, it is proper to conclude that the examining procedure is effective; and conversely, if the contrary is shown it is proper to conclude that the examining procedure is lacking. Civil service laws generally provide that ratings of efficiency shall be used in determining questions of retention and dismissal. Failure to attain a fair standard of efficiency should be a ground for dismissal from the service. Ratings of individual efficiency, of course, play a considerable part, and, under ideal conditions, should play a very important part in determining the advancement and promotion of employees.

Where efficiency ratings are fairly and intelligently prepared, and where they are used in the manner outlined above, they exercise a valuable influence on the personnel of the establishment in question. They become positive factors in the encouragement of efficiency. They produce throughout the service a feeling that the character of the work done by each individual

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is given close attention, and that good work receives just recognition and appropriate rewards. In this way, efficiency ratings, apart from being records of past performance, are useful instruments for the maintenance of high standards of individual and group efficiency.



## CHAPTER IX

### ADVANCEMENT AND PROMOTION

**The Problem of Promotion.** In a large and well conducted system of private employment, promotion has a threefold significance. It is of direct value to the management as a means of recruiting workers for the higher positions; it permits the selection of workers for the higher positions on the basis of extended observation; and it ensures the utilization of the experience and training gained through a period of employment.

To the employee promotion is of direct significance as a reward, or possible reward. Actual promotion is a reward, while the opportunity for promotion is a possible reward, something still in the future but nevertheless a matter of considerable significance. Finally, promotion is of direct significance to the management, inasmuch as the rewards given to employees and the incentive held out to them react in important ways on practically all of the phases of employment administration. The actual promotions given to employees tend to create a contented, stable, and efficient personnel. The opportunities for promotion held out to employees have a similar effect. They operate as fundamental and far-reaching incentives. They affect the success with which suitable workers are originally recruited; they determine in large part the success with which employees are retained; they affect the efforts of employees in the direction of training and self-improvement; they affect the maintenance of proper discipline; they de-

termine in large part the good will and enthusiasm that prevail within the organization; and they determine in large part the standards of efficiency that are accepted and maintained.

In the public service, promotion is in an unsatisfactory condition. It is unsatisfactory when considered in comparison with private enterprise, and also when considered with reference to what might be done in the public service itself. Governments do not avail themselves fully of promotion as a means of recruiting workers for the higher positions in government employment. They disregard in this respect one of the obvious principles of successful management. They do not in any systematic way base the selection of workers for the higher and more responsible posts on the observation made possible by an extended period of employment; and they do not utilize to the fullest extent the training and experience gained by workers in public employment. Instead, they follow too generally the policy of filling the higher positions in the public service by recruiting from outside the service workers who are too frequently chosen with regard to their political affiliation rather than with regard to their superior qualifications.

Nor do public employees themselves generally receive the merited rewards of faithful service and increased usefulness. They may enter the public service filled with a high degree of enthusiasm for their work, only to meet with disappointment and disillusionment when they realize fully the fact that the public service offers little opportunity for advancement. Many have been compelled by this circumstance to leave the public service, and to find employment on more advantageous terms in private enterprise. Many who have remained

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in the public service have been made to bear an unwarranted amount of hardship.

As a consequence, our various governments fail to derive the important indirect benefits that would result from a well planned and well conducted system of promotion. Instead, they suffer all the evils that follow indirectly from a neglect of the important problem of the advancement and promotion of public employees.

The fact that public employment does not hold out the prospect of promotion as the reward of faithful service and increased usefulness has a marked retroactive effect on all the processes of personnel administration. It has a discouraging effect on recruiting. It tends to deter ambitious and capable workers from entering the public service. It frequently causes the better type of worker to leave the public service for work in the field of private enterprise. It discourages workers from entering upon courses of training calculated to prepare them for increased usefulness in public employment. It makes difficult the maintenance of discipline and of good will and enthusiasm throughout government establishments. As a result it renders difficult the maintenance of high standards of individual and group efficiency.

This situation is due in the main to two underlying conditions: the small number of opportunities for promotion that actually exist in our systems of public employment and the faulty methods by which promotion is frequently administered.

The first requisite of any radical improvement of the public service with regard to promotion is, therefore, an extension of the opportunities for promotion actually existing in our systems of public employment. This extension of opportunities encounters certain natural

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limitations. Writing with particular regard to the federal service, Lewis Mayers has recently drawn attention to the fact that

the quantity of routine, specialized, regimented operations required is so vastly in excess of the creative, executive, or other individual activities, that for the great mass of federal employees, as for the great mass of industrial workers, there can be no prospect of even ultimate ascent to posts of even intermediate responsibility and importance. For the great mass a long future in the federal service cannot, in the nature of the case, offer anything worthy to be called a career. The best that it can hope to offer is security, adequate, and, within fairly narrow limits, increasing, compensation, and the sense of useful work faithfully done.<sup>1</sup>

A system of public employment necessarily includes many more positions involving only routine and specialized operations than positions involving creative and individual activity and correspondingly higher rates of compensation. Private employment does the same. But public employment, in the nature of the case, offers fewer opportunities for promotion to positions of first-rate importance than does private enterprise, and no opportunities at all of promotion to positions involving extremely high rewards in terms of remuneration. This circumstance is inherent in the nature of government employment. But, admitting these limitations, much may be done to bring about an extension of the opportunities for promotion in our systems of public employment. The present opportunities for advancement and promotion in the public service are needlessly restricted; they may be substantially extended by the adoption of suitable measures by legislative bodies, civil service commissions and administrative officers.

<sup>1</sup> Mayers, "Some Phases of the Federal Personnel Problem," *American Political Science Review*, May, 1920, vol. xiv, p. 235.

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The second requisite of any marked improvement of the public service in respect to advancement and promotion is the introduction of fair and effective methods for the administration of advancements and promotions. This calls for a conscientious enforcement of the merit principle, and also for the devising of a technique suited to determine the fitness of employees for advancement and for promotion to the higher positions in the public service.

### **The Distinction between Advancement and Promotion.**

In ordinary usage the terms "advancement" and "promotion" are regarded as synonymous. In civil service practice no distinction between these particular terms is universally recognized. But many civil service officers, as well as others who are engaged in the work of putting the civil service on a business-like and efficient basis, have for some time recognized the need of drawing a distinction between appointment to a position of higher rank and mere increase in salary. The New York State Report of 1916 and the recent report of the Congressional Joint Commission emphasize this fundamental distinction and indicate it by the terms "promotion" and advancement.

A promotion is a change from one class (or grade) of position to a higher class (or grade) of position. It implies that the employee in question is given a new civil service title, that he assumes new duties and receives increased compensation. An advancement is merely an increase or advance in salary. It does not involve a new title or the assumption of a different kind of duties. To the public employee, advancement and promotion may represent substantially the same thing, in so far as they both mean to him the opportunity which the public service offers for increased compensation. They involve,

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however, widely different problems of basic organization and of administration.

**Provision for Advancement.** The creation of opportunities for advancement in the sense just defined is possible only in connection with a program of classification and salary standardization. Provision for advancement within a given class (or grade) of employment can be made only where the various positions of a system of public employment have been scientifically classified according to work requirements; that is, only where all positions involving essentially the same duties have been put in one class and have been made the subject of similar treatment as regards terms and conditions of employment. Where the positions have been so classified, provision for advancement in salary without change of position may be made by assigning to each class of position a range of compensation that includes a minimum and a maximum rate and, where practicable, one or more intermediate rates.

Provision for increase in salary without promotion to a higher class of position should include also appropriate machinery whereby salary increases may be granted at definite intervals on the basis of length of service and increased efficiency.

**Administration of Advancement.** Heads of government departments now administer salary increases, as well as promotions proper, with little regard to the nominal control by civil service commissions. Administrative heads should be directly responsible for the granting of salary increases, though they should act in this matter under the general supervision of the civil service commission in question. Under the arrangement here discussed, administrative heads would be restricted in the granting of salary increases to the limits defined for the various

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classes in the schedules of compensation adopted by the legislative body. They would also be governed in the granting of salary increases by the efficiency ratings of the employees under their supervision; and the practical success of the scheme of automatic salary increases would depend in large part on the care with which records of individual efficiency are maintained. Administrative officers will also be required to administer salary increases on a uniform and equitable basis, recognizing superior efficiency by appropriate rewards in terms of increased compensation.

Discussing the operation of a plan of automatic salary increases, the report of the Congressional Joint Commission says:<sup>2</sup>

It is the belief of the Commission that an employee on entering any class should be paid the minimum rate prescribed for that class, and should be advanced through the intermediate rates to the maximum only on the basis of demonstrated efficiency. Furthermore, the Commission believes that with successive salary advancements, the standard of required efficiency should be increased so as to enable only the most efficient employees to secure the maximum rate. Thus, if four rates of pay were provided for a given class, an efficiency rating of 80 per cent might be required for advancement from the minimum to the next higher rate, 85 per cent to the next higher, and 90 per cent to the maximum.

The report continues:

Failure on the part of any employee to maintain the standard of efficiency set for the rate being paid should be followed by his reduction to a lower salary rate in the same class, the rate to be determined by his efficiency rating; while failure at any time to maintain a minimum standard of efficiency as prescribed by the Civil Service Commission should be followed by dismissal.

<sup>2</sup> Report of the Congressional Joint Commission, 1920, part I, p. 124.

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The plan of automatic salary increases takes account of the fact that in many lines of work the public employee cannot reasonably expect rapid promotion to a higher class of position, but that he should be able to look forward with reasonable certainty to salary increases at definite intervals. It goes a great way towards overcoming the deadening effect of the stationary rates of pay all too prevalent in public employment.

This plan of automatic salary increases has been tried out in some civil service jurisdictions, and wherever it has been put into force it has had a distinctly beneficial effect on the morale and efficiency of the public service.

**Provision for Promotion.** The extension of opportunities for promotion must also be based in large part on measures that go to make up a scheme of classification and standardization. In one important respect, however, an enlargement of the opportunity for promotion in the public service depends on another condition. It depends on a thorough application of the merit principle. The opportunity for promotion open to the more capable and ambitious members of the public service would be materially increased if the higher posts, as well as many posts of intermediate importance that are now treated as "exempt," were placed in the classified service and treated as subject to examination requirements.

Provision for an adequate system of promotion must include a series of job specifications as well as a series of definitions of all the classes of jobs or positions in the system of employment in question in terms of the work involved and the educational and other qualifications required. Such a series of job specifications reveals at once the generic functional relations between the various



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jobs of the system of employment in question. It makes possible an understanding of the natural lines of promotion within a system of employment; that is, the lines of promotion that lead to a given position and lead from it to higher and more responsible positions. A standardization provides this necessary groundwork of an adequate system of promotion.

Provision for an adequate system of promotion must also include a reasonably close correlation between the duties of various positions and the compensation attached to them. It must include that degree of correlation which insures that as the duties of positions become more arduous and more valuable the pay attached to them shall increase in something like the same proportion. This seems obvious as a principle of efficient management. At the same time it is true that in public employment this principle often is not put into practice. It frequently happens in public employment that a position involving fairly difficult and valuable services is paid at a rate equal to or even less than other positions involving less difficult and less valuable services. This circumstance has been in large part responsible for the fact that it has generally been impossible in public employment to administer promotion on an equitable and business-like basis.

An effective handling of the problem of promotion in the public service requires provision for inter-departmental promotion. The definition of classes of positions in functional terms and the standardization of salaries throughout an entire system of employment virtually imply a provision of this character. Unfortunately these measures of standardization have by no means been universally adopted. Under the conditions that have generally existed, promotion from

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a position in one government department to a higher position in another department has been of rare occurrence. Indeed, civil service laws have generally provided that promotion shall be, as far as practicable, from the lower grades or classes within the department, bureau, or institution in which a vacancy has arisen. In the case of some classes of positions, particularly those requiring familiarity with executive practice, this rule may have a certain justification; but in the case of many types of positions, particularly those involving duties of a clerical nature, it has led to unfortunate results in public employment.

The practice of discouraging inter-departmental promotion has often led to marked inequality in the average rate of advancement and promotion in the several departments of a government. In New York State it was found that "the average rapidity of advancements for employees recruited from the same or similar eligible lists, with similar qualifications, and performing the same kind of work, differs so widely in the several departments that, whereas the employees of some departments are advanced with undue rapidity and without adequate preliminary training, those in other departments receive wholly inadequate recognition."<sup>3</sup> Clerks in six of the principal state departments remained in one salary grade before being advanced to the grade next higher according to the following averages:

Finance Department .....	6¼ months
Education Department .....	19¼ months
Health Department .....	7¼ months
Insurance Department .....	6 months
Labor Department .....	5¼ months
State Department .....	11⅓ months

<sup>3</sup> New York Senate Committee, Report on Civil Service, 1916, p. xix.

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It may be seen readily that employers in the Department of Education and in the Department of State were receiving much less consideration in the matter of promotion than their fellow-workers in more fortunately situated departments. This state of affairs necessarily has an unfortunate effect on both the morale and working efficiency of the public service.

A plan that permits inter-departmental promotion opens up the opportunity for growth and development to all properly qualified members of a system of public employment regardless of the organization unit in which they were originally appointed. It relieves the situation of those who have found their way in what would otherwise prove "blind alley" occupations. It removes a frequent cause of unrest and dissatisfaction and tends to promote materially the morale of the public service. By opening up the opportunity to compete for the higher positions to all qualified members of the service it insures a larger field from which to choose workers for the higher positions and increases accordingly the chances of finding workers who are well qualified and competent to occupy the higher positions.

Closely connected with the question of inter-departmental promotion is that of transfer from one department to another. The transfer is not in itself a promotion, but it may be a means to subsequent promotion. At the present time transfer from one department to another is usually extremely difficult to accomplish. This is particularly true in the national service at Washington, where an employee is not ordinarily transferred out of a department until he has worked in it for a period of three years. Where the salaries paid throughout a system of public employment have been standardized, a high degree of freedom of

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transfer from one department to another will not ordinarily be abused. In line with practice in progressive private employment, it should be permitted as a means of adjusting the personnel to the varied requirements of the public service and of facilitating individual development and promotion.

Any plan for the substantial enlargement of the opportunity for promotion in the public service must include a provision for the systematic retirement of public employees. Where no retirement system is in operation, the older employees often remain in the service, and often in the higher positions, long after the period of maximum, or even moderate, usefulness has passed. Administrative officers are usually unwilling to remove them, and, under the circumstances, they may be justified on humanitarian grounds. The effect of this situation on the opportunity for promotion in the public service is obvious.

The opportunity for promotion in the public service, furthermore, may be extended indirectly by suitable provision for the training of public employees. Strictly speaking, the opportunity for promotion implies not only existing vacancies, but also preparation for the occupancy of these vacancies. In a sense, preparation for promotion is the immediate business of the employee concerned. In a wider view it is, at the same time, the business of the employer. As pointed out in Chapter VI there are certain limitations to what a government may practically undertake to do in the way of preparing its employees for promotion. In certain circumstances, however, a government may well undertake to provide training designed to prepare its employees for increased usefulness and for eventual promotion. In providing directly or arranging for special

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training of its employees, a government will promote its own interests, in the sense that it will further the development and proper placement of its personnel. It will also promote the interests of its employees by opening up to them a greater opportunity for self-development and for a permanent and satisfactory career in public employment.

The chance of promotion may also be increased by facilitating the movement of employees from the higher positions in the service of one government to similar or better positions in the service of another. Such a movement will create vacancies in the service in which the persons in question were employed; and it will also enable the persons concerned to work out a satisfactory career in the public service. Transfer of this kind from one government to another might well be encouraged in this country. As a beginning, the movement of municipal employees from one jurisdiction to another in the same state might be facilitated. There is no good reason why the movement of public employees between different states or between states and the national government should not also be permitted and encouraged.

**Administration of Promotion.** The actual filling of the higher positions in the public service by promotion, like the selection of candidates for original appointment, presents questions of the proper location of authority, of conscientious adherence to the merit principle, and of the devising of effective examining technique.

Civil service commissions have usually been given the power to regulate the making of promotions, but, as a general rule, they have failed to exercise this power. In the national service, the Commission usually limits

its control over promotions to the holding in certain cases of a so-called qualifying or non-competitive examination. A few state and city commissions undertake to regulate promotion from class to class on the basis of competitive examination. Most civil service commissions, however, have failed to require even a qualifying examination as a basis of promotion. They have allowed the control over promotion, as well as the control over mere salary increases, to remain almost entirely in the hands of administrative officers.

Civil service commissions should exercise such control over the granting of promotions as will insure that the several operating services are handling this important feature of personnel administration in a proper manner. They should accomplish promotion uniformity as far as varying conditions permit.

In exercising supervision over the granting of promotions, the civil service commission must be concerned in the first place with the enforcement of the merit principle. Under the conditions that have existed in the public service, the merit principle has been more laxly enforced in connection with promotion than in connection with original appointment. In the making of promotions, favoritism and political influence have too often played a large part. As a means of administering promotion in accordance with the merit principle and as a means of securing a truly efficient personnel in the higher positions of the government service, civil service commissions should encourage the use of competitive examinations. This applies especially to the subordinate positions. The higher positions require to a marked degree the attributes of personality and executive ability. They involve a greater amount of the qualities indicated by the terms "executive ability" and "per-

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sonality." In these cases formal tests of fitness are more difficult to devise and standardize.

In civil service practice, promotion is usually made on the basis of three factors: length of service, efficiency rating, promotion test proper. Length of service is an indication of loyalty. It may also be an indication of increased ability and usefulness. It should, however, receive only a limited weight. A standard length of service should be set up, and service beyond this length should be given little or no additional weight. The efficiency rating is an indication of the performance of the applicant over a definite period of time in his present position and should undoubtedly be given great weight. In not a few cases, however, main dependence can be placed upon the promotion test proper. This test may be either a written or a practical test. As in the case of the entrance test, the promotion test should be drawn up with careful regard to the specification of duties and qualifications required in the job or position to be filled. At the same time the test should be designed, not so much to bring out special or technical information as to reveal native ability to handle the duties of the new position.

Where the competitive examination is made the basis of promotion, the machinery of certification and appointment is substantially the same as that previously discussed in connection with original selection. It usually provides for the preparation by the civil service commission of a list of candidates eligible to the position to be filled by promotion; the certification of candidates, usually three in number, who are deemed eligible to the position in question; appointment by the department head; and an opportunity for the refusal of final appointment during the period of probation. The certi-

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fication of at least three eligible candidates is necessary as a measure of effective management. It enables the department head to take into account the personal qualities of the candidates, to reward deserving service in his own organization, and to offset imperfections in the method of examination.

As a final word, it may be well to stress again the fact that it is generally desirable to fill the higher positions in the civil service by promotion—in so far as they cannot be filled by reinstatement—rather than by recruiting from outside the service. “In ordinary circumstances only in case a promotion examination fails to secure three eligibles should any attempt be made to obtain employees through an open competitive examination.”<sup>4</sup>

<sup>4</sup> Report of the Congressional Joint Commission, 1920, part I, p. 124.



## CHAPTER X

### EMPLOYEES' REPRESENTATION

The last two decades represent a period of unusual industrial and commercial expansion in the United States. Under the impetus of this expansion and under the stress of competition, individual organizations have assumed immense size. This era of reorganization brought with it many new problems of management. Methods of increasing production or decreasing overhead and operating costs were eagerly adopted. The man with an idea or device for increasing plant production or efficiency was recognized. A new professional group called industrial engineers, efficiency experts, and management specialists sprang up. Each group of specialists came forth with a particular remedy or line of remedies. All put emphasis, however, upon systems of control.

Great strides in the development of factory and plant efficiency were made as the result of this effort, but the success obtained on the mechanical side of plant and factory efficiency directed forcible attention to one important phase of the production problem that had been neglected, namely, the problem of the worker. Experience in this period has demonstrated that, however important the institutional and mechanical conditions of controlling and developing production, efficiency demands something else. It demands the interest of the employee in his job, the sympathetic coöperation of the employee with the employer, team play between the di-

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recting personnel and the subordinate personnel which springs from the desire—as well as the means—of co-operation. Private organization learned, as it had never learned before, the need and value of morale. Especially did the great war emphasize this factor. The patriotic interest of every citizen was aroused. He was made to feel the importance of doing his best. Team play and united effort in a common cause resulted.

That the conditions normally existing in private or public enterprise do not conduce sufficiently toward this spirit of coöperation, is generally recognized. In some way the employee must be made to feel an interest in the results of his work. To this end he must be given some opportunity to participate in its determination and his work conditions, at least to the extent of being able formally to make known his opinion regarding the justice and desirability of these conditions.

The development of a system of employees' representation has accomplished much in private enterprise. By employees' representation is meant the means furnished to the employee within an organization for voicing his grievances, advising the management on employment questions, such as compensation, discharges, etc., or on factory and plant production. It represents the means for a closer touch between the management and the employee.

Many systems of employees' representation have been tried. Some organizations have introduced the simple shop committee plan, each shop committee being an independently functioning unit. Others have brought the shop committees under the control of a central coördinating board which advises directly with the board of directors or the management.

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The movement for employees' representation in the public service is making itself definitely felt at the present time. It started by the independent formation of employees' organizations. In a number of cities associations of employees are found covering particular services, especially the police, fire, and teaching services. Associations embracing all the employees of a particular municipality are rare. Where found, they are usually weak and ineffective. In the national service, however, in addition to several organizations covering particular services, there is found a "National Federation of Federal Employees Union," affiliated with the American Federation of Labor, which invites to its membership employees of all branches of the service. The scope and strength of this organization is shown by the fact that its membership embraces approximately 200 local units scattered through the country with a membership that now numbers 60,000. It publishes a weekly magazine that keeps its membership informed on all questions affecting the organization and the status or welfare of federal employees.

The purpose of this union as defined in Article 2 of its Constitution is: (a) To advance the social and economic welfare and education of the employees of the United States and (b) to aid in the perfection of systems that will make for greater efficiency in the various services of the United States. The program adopted for the fulfillment of this purpose seems to have in mind both the interest of the government and the welfare of the employee. It includes the following significant features:

(a) Procurement of legislation beneficial to the government service and employees, and protection from unjust and inconsiderate enactment of laws affecting them.

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(b) Reclassification of salaries and wages based upon the value of work done.

(c) A satisfactory retirement plan (recently adopted).

(d) Improvement of methods and systems of work in the government service so that they may be brought more up to date, made more efficient and more responsive to the needs of the United States.

(e) A minimum wage law to provide that every government employee shall be able to work in health and decency.

(f) Extension of the merit system or civil service classification to all positions of the government service.

(g) The appointment of a civil service board of appeals or a board of mediation and conciliation composed of representatives of the employees and the employer for the consideration of differences and grievances.

(h) Improved working conditions, including half holidays on Saturdays through the year, and reasonably safe and comfortable places in which to do work.

These objects certainly include the essential features of a progressive employment program. The methods enumerated for the accomplishment of these objects have been the subject of considerable discussion and debate. The constitution says:

Sec. 2. The methods for attaining these objects shall be by petition to Congress, by creating and fostering public sentiment favorable to proposed reforms, by coöperation with government officials and employees, by legislation, and other lawful means; provided, that under no circumstances shall this Federation engage in or support strikes against the United States Government.

In place of strikes against the United States Government, which the union repudiates, it is proposed to employ pressure upon Congress by "personal contact . . . between representatives of the Union and Congressmen and Committees of Congress," and "by each member of the Union dealing with his representative or senator individually and 'through the folks back home.'" It has

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been argued that the principal effect of this program, if adhered to, would be to further emphasize political patronage, to strengthen the political hold of senators and congressmen upon the administrative officers responsible for the conduct of the nation's business, and to subordinate the legitimate interests of the government to the political ends to be served.

This view would seem to put the emphasis on a danger that is quite remote and to lose sight of the highly beneficial objects of this form of representation. It would seem, too, to overlook the essential facts that have entered into the prosecution of many of our great reforms, namely, organization of the group interest or class to be affected. The business interests of the country have maintained a Chamber of Commerce which under an enlightened program represents the business interests of the country before the Congress of the United States. The farming interest and the granges of the country have similar representation in Washington. Groups of private enterprises and various social movements maintain organizations for bringing what is generally thought to be "legitimate pressure" upon the legislative body of the nation.

The union, according to the claims of its leadership, frowns upon political pressure where the matters under consideration can be handled through administrative channels. It is significant that this agency is now pleading for a reorganization of the whole system of employment control under which many matters now being handled from year to year by Congress will be disposed of, as they should be disposed of, within the executive departments and thus dispense entirely with the need for pressure upon the legislative body. Reference is made to the movement for reclassification of the per-

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sonnel of the national government and standardization of employment conditions under an arrangement whereby an administrative machinery attached either to the Civil Service Commission or some other administrative unit, such as the Budget Bureau, will determine, subject to any revision of the law itself, rates and grades of compensation, and make official recommendations as to payroll expenditures, etc.

The need in private enterprise for a broad form of employees' representation within each plant or organization has its counterpart also in the public service. The Civil Service Commission and the various state and municipal civil service commissions have been too far removed from the conditions under which the employees work. The development within our larger governments, that is, governments employing more than 3000 employees, of a wide system of representation is fundamental. Each department should have a personnel board that would function in close coöperation with the civil service commission, itself conducting investigations and advising the commission of changes in the rules and regulations that should be adopted.

## APPENDIX I

### CIVIL SERVICE COMMISSIONS IN THE UNITED STATES CLASSIFIED ACCORDING TO LEGAL CONDITIONS OF CONTROL

#### I. Federal and Insular

1. Established by Federal Act  
Federal Government of the United States
2. Established by Acts of Insular Legislatures

Hawaii                      Philippine Islands                      Porto Rico

#### II. State: Established by Statute

1. Commissions that recruit and control employees for the State Government

California                      Connecticut <sup>1</sup>                      Kansas  
Colorado                      Illinois                      Maryland  
   Wisconsin

2. Commissions that recruit and control employees for the State government and municipal and other subdivisions of the State which have adopted the provisions of the act <sup>2</sup>

Massachusetts <sup>3</sup>                      New Jersey <sup>4</sup>

3. Commissions that recruit and control employees for the State Government <sup>5</sup> and have investigative and disciplinary powers over the administration of civil service in the political subdivisions of the State

New York                      Ohio

<sup>1</sup> This commission was abolished by Act of the Connecticut Legislature in April, 1921.

<sup>2</sup> Optional by referendum vote.

<sup>3</sup> Includes only cities of over 12,000.

<sup>4</sup> Includes all subdivisions of the state.

<sup>5</sup> Includes the counties within the state.

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### III. Municipal

- i. Commissions established by virtue of a constitutional provision or State statute mandatory upon all cities

(a) Commissions subject to supervision by State Commission

#### New York:

Albany	Ithaca	Oneonta
Amsterdam	Jamestown	Oswego
Auburn	Johnstown	Plattsburgh
Batavia	Kingston	Port Jervis
Beacon	Lackawanna	Poughkeepsie
Binghamton	Little Falls	Rensselaer
Buffalo	Lockport	Rochester
Canandaigua	Mechanicsville	Rome
Cohoes	Middletown	Salamanca
Corning	Mount Vernon	Saratoga Springs
Cortland	Newburg	Schenectady
Dunkirk	New Rochelle	Syracuse
Elmira	New York	Tonawanda
Fulton	Niagara Falls	Troy
Geneva	North Tonawanda	Utica
Glens Falls	Norwich	Watertown
Gloversville	Ogdensburg	Watervleit
Hornell	Olean	Yonkers
Hudson	Oneida	

#### Ohio:

Akron	Bucyrus	Coshocton
Alliance	Cambridge	Defiance
Ashland	Canal Dover	Delaware
Athens	Canton	Delphos
Barberton	Chillicothe	Dover
Bellaire	Cincinnati	East Cleveland
Bellefontaine	Circleville	East Liverpool
Bowling Green	Conneaut	Elyria



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Ohio (*continued*):

Findley	Marion	St. Marys
Fostoria	Martins Ferry	Steubenville
Fremont	Massillon	Tiffin
Galion	Nelsonville	Troy
Gallipolis	Newark	Urbana
Glenville	Newburg	Van Wert
Greenville	New Philadelphia	Warren
Hamilton	Niles	Washington Court House
Ironton	Norwalk	Wellstone
Jackson	Norwood	Wellsville
Kenton	Piqua	Wooster
Lancaster	Plainesville	Xenia
Lima	Portsmouth	Youngstown
Lorain	Ravenna	Zanesville
Mt. Vernon	Salem	
Mansfield	Sidney	
Marietta	St. Bernard	

(b) Commissions not subject to supervision by State Commission <sup>6</sup>

Ohio:

Ashtabula	Dayton	Sandusky
Cleveland	Lakewood	Springfield
Columbus	Middletown	Toledo

2. Commissions established by virtue of an optional State statute applicable to all cities

Connecticut:

Derby

Illinois:

Aurora	Elgin	Rockford
Chicago	Evanston	Springfield
East St. Louis	Peoria	Waukegan

Montana:

Missoula

<sup>6</sup> Operating under freeholders' charters.

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3. Commission established by virtue of a State statute mandatory upon cities adopting commission form of government

Arkansas:

Fort Smith

Iowa:

Burlington	Des Moines	Sioux City
Cedar Rapids		

Kansas:

Anthony	Independence	Parsons
Coffeyville	Kansas City	Topeka
Hutchinson	Leavenworth	Wichita

4. Commissions established by virtue of a State statute mandatory upon cities of the first or second class

(a) Cities of first class

Minnesota:

Minneapolis <sup>7</sup>

(b) Cities of first and second class

Pennsylvania:

Allentown	Hazleton	Reading
Altoona	Johnstown	Scranton
Chester	McKeesport	Uniontown
Coteseville	Philadelphia	Wilkes Barre
Easton	Pittsburgh	Williamsport
Harrisburg		

5. Commissions established by virtue of a state statute mandatory upon cities of the first and second class

Wisconsin:

La Crosse	Oshkosh
Milwaukee	Superior

<sup>7</sup> Law makes special reference to the method of appointment and salary of the Minneapolis commissioners. See also Minnesota under 7.

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6. Commissions established by virtue of a special statute

Connecticut:

New Haven

Georgia:

Augusta

Louisiana:

Bogalusa                      New Orleans

South Carolina:

Columbia

Tennessee:

Memphis                      Nashville <sup>8</sup>

Virginia:

Norfolk <sup>9</sup>

West Virginia:

Bluefield                      Huntington                      Parkersburgh

7. Commissions established by virtue of authority, constitutional, statutory, or both, to frame freeholders' charters <sup>10</sup>

California:

Berkeley <sup>11</sup>	Oakland	San Francisco
Long Beach	Sacramento	(city and
Los Angeles City	San Diego	county)

Colorado:

Colorado Springs	Denver (city and	Grand Junction
	county)	Pueblo

Maryland:

Baltimore

<sup>8</sup> City board of commissioners, the employment board over employees in the police, fire, waterworks, and lighting departments.

<sup>9</sup> Jurisdiction of commission restricted to employees of fire and police departments.

<sup>10</sup> The cities in Ohio that are operating under freeholders' charters have been classified under III—1-2.

<sup>11</sup> Charter provides for Commission: Commission not established.

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Kentucky:

Covington

Michigan:

Detroit                      Grand Rapids                      Kalamazoo  
Saginaw

Minnesota:

Duluth                      St. Paul

Missouri:

Kansas City                      St. Louis

Oklahoma:

Bartlesville                      Muskogee                      Oklahoma City

Oregon:

Portland

Texas

Houston                      El Paso

Washington:

Bellingham <sup>12</sup>                      Seattle                      Tacoma  
Everett                      Spokane

8. Other units of government that have established employment boards by virtue of a special statute

Cook County, Illinois

Board of Commissioners—Port of New Orleans

Lincoln Park Commission, Chicago

South Park Commission, Chicago

West Park Commission, Chicago

Los Angeles County, Cal.

Milwaukee County, Wis.

<sup>12</sup> Civil service department established through charter amendment.

## APPENDIX 2

STANDARD CIVIL SERVICE LAWS FOR STATES AND CITIES  
*Drafted by National Civil Service Reform League*

### **Draft of a Civil Service Law for States**

[Applicable with minor or formal modifications or those required by constitutional provisions to any state, and embodying the essential features of a practical merit system of public employment prepared and approved by a Committee of the National Civil Service Reform League.]

An Act to regulate the civil service of the state, and of each of the civil divisions, counties, municipalities, school districts and other subdivisions of the state, including the executive, legislative and judicial branches.  
*Be it enacted, etc.,*

Section I. DEFINITIONS: The words "Commission" and "Commissioner," as used in this Act, shall be construed to mean in respect to the state service, and in respect to examination and certification of eligibles for the offices of state, county, municipal, school district or other civil division, the State Civil Service Commission or Commissioner; in respect to each of the several county services, the County Civil Service Commission or Commissioner, and in respect to each of the several municipalities, the Municipal Civil Service Commission or Commissioner of such municipality, and in respect to any other subdivision of the state the Civil Service Commission or Commissioner thereof.

Section 2. DIVISION OF SERVICE: The civil service

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of the state and of each of the civil divisions, counties, municipalities, school districts, and other subdivisions of the state shall be divided into the unclassified and the classified service.

Section 3. UNCLASSIFIED SERVICE: The unclassified service shall comprise:

- (a) Officers <sup>1</sup> elected by the people;
- (b) Judges <sup>2</sup> and receivers,<sup>3</sup> special masters in chancery, arbiters, jurors and persons appointed by a court to make or conduct any special inquiry of a judicial and temporary character; <sup>4</sup>
- (c) Officers and employees of a county, municipality, school district or other subdivisions of the state, having a service in all departments of less than fifty persons, and an average monthly payroll of less than five thousand dollars;
- (d) Persons employed by contract to perform a special service where such contract is certified by the Civil Service Commission to be for employment which cannot be performed by persons in the classified service;
- (e) Persons temporarily appointed or designated to make or conduct a special inquiry, investigation or examination, where such appointment or designation is certified by the Civil Service Commission to be for employment which should not be performed by persons in the classified service; and

<sup>1</sup> The adoption of a short ballot law in conjunction with a civil service law will greatly promote governmental efficiency. "Only those officers should be elected who have to do with policy making and who are important enough to attract and to deserve public attention."

<sup>2</sup> In the absence of a constitutional restriction there is no reason why judges of inferior courts should not be included in the classified service.

<sup>3</sup> Wherever the school system is under the jurisdiction of a school board separate and distinct from the state or municipal government with a law providing an efficient merit system this section may be amended.

<sup>4</sup> See note 10.

(f) One Civil Service Commissioner or three Civil Service Commissioners <sup>5</sup> as provided in sections 6 and 7 of this Act.

Section 4. CLASSIFIED SERVICE: The classified service shall comprise all other public officers and employees, and all offices and places of employment in the state service, and in the respective services of the several civil divisions, counties, municipalities and other subdivisions of the state, which shall be classified and graded in the manner provided for in this Act in the rules made in pursuance hereunder, and appointments, removals, promotions, transfers, lay-offs, reinstatements, suspensions, leaves of absence, and changes in grade, compensation, or title shall be made and permitted only as prescribed in this Act and not otherwise.

Section 5. CONTINUANCE OF PRESENT INCUMBENTS: Any person holding an office or place in the classified service as herein defined at the time this Act takes effect shall continue to hold such office or place only until laid off or removed for inefficiency by the appointing officer or until removed under the provisions of this Act.<sup>6</sup> Such person shall not be entitled to reinstatement, transfer or promotion under the provisions of this Act.<sup>7</sup>

<sup>5</sup> Will be omitted if the other alternative of Sections 6 and 7 is adopted.

<sup>6</sup> Where an existing civil service act is to be superseded by this Act, the following provisions should be inserted:

Any person holding an office or place in the classified service and graded as herein defined at the time this Act takes effect by virtue of a civil service act repealed in whole or in part by this Act and who was appointed after test and certification to such office or place and has served continuously therein for a period of not less than three months shall become a member of the classified service created by this Act without original entrance test.

<sup>7</sup> Persons whose merit and fitness to perform the duties of any position in a grade to which they may be certified has not been tested cannot be treated or regarded as being as well qualified as persons whose merit and fitness have been so tested. They may, at best, be competent in the positions in which they are actually employed, but to send them into other departments to which their

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### Section 6. APPOINTMENT OF STATE COMMISSION:

There is hereby created a State Civil Service Commission consisting of one person appointed by the Governor to serve until removed under the provisions of this Act. Whenever there is a vacancy in the office of State Civil Service Commissioner and no eligible list prepared as provided in this section from which appointment can be made, the Governor shall forthwith appoint (*a*) a person who has served within the United States continuously for two or more years as a member, secretary or chief examiner of a federal, state, county or municipal civil service commission (*b*) a persons who has been engaged continuously within the United States for two or more years in selecting trained employees for positions involving professional or technical skill; and (*c*) a person who has served for two or more years as a judge of a court of record; which three persons shall constitute a board of special examiners to conduct an examination under the provisions of this Act for the purpose of preparing a list of the names, in the order of their excellence, of persons eligible to appointment to the office of State Civil Service Commissioner.<sup>8</sup> The mem-

grade of service may extend has been found disastrous. No merit principle demands their retention in the service. Their qualifications are not definitely known and the fact that they obtained their appointments largely if not solely for political reasons makes them a source of discord when sent under the guise of merit employees to appointing officers who may have vacancies to fill. This Act leaves such persons where it finds them. It reserves only the right to remove such of them as may be demonstrated to be inefficient after the act goes into effect. If laid off by the officers under whom they serve they are separated from the service and cannot claim the right to reinstatement. The shock to the service which wholesale or sudden change in the character of their tenure might occasion is avoided and opportunity to take the tests which will give them tenure during efficiency is afforded. In such tests the experience which such persons should, if competent, have acquired gives them an undoubted advantage over other applicants.

<sup>8</sup> Three provisions are proposed to govern the appointment of the civil service commission in the state service and in cities of over 250,000 inhabitants.



bers of said board shall serve until an eligible list has been established and appointment made therefrom. Two members of said board shall constitute a quorum for the transaction of business. Said board shall, within thirty days after its members have been appointed, proceed to advertise and hold an examination under the provisions of this Act. The method of examination and the manner of preparing a resulting eligible list and certifying to the Governor therefrom by said board of examiners and making appointments in accordance with such certification by the Governor shall be the same as prescribed for other examinations, certifications and appointments under this Act, and the said board shall have the same powers and obligations in respect thereto as those vested in or imposed upon the State Civil Service Commission. Whenever a vacancy exists in the office of State Civil Service Commissioner, the Governor shall forthwith appoint the person standing highest upon the list of persons eligible for appointment to said office.

Section 6. APPOINTMENT OF STATE COMMISSION: There is hereby created a state civil service commission consisting of three persons appointed by the Governor to serve one for two years, one for four years and one for six years. Each alternate year thereafter the Governor shall appoint one person as the successor of the member whose term shall expire, to serve for six years. Any vacancy shall be filled by the Governor for the unexpired term. The Governor may remove a member of the state civil service commission under the provisions of section 12 of this Act.

Section 6. APPOINTMENT OF STATE COMMISSION: There is hereby created a State Civil Service Commission, consisting of three persons, one of whom shall be appointed by the Governor to serve during the term of office of the Governor or until removed under the pro-

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visions of this Act. The other two members of the State Commission shall be in the classified service and shall possess the same powers and authority as the third member. Two members of the State Civil Service Commission shall constitute a quorum for the transaction of business. Whenever there is a vacancy in the office of State Civil Service Commissioner in the classified service and no eligible list prepared as provided in this section, from which appointment can be made, the Governor shall forthwith appoint (*a*) a person who has served within the United States continuously for two or more years as a member, secretary or chief examiner of a federal, state, county or municipal civil service commission; (*b*) a person who has been engaged continuously within the United States for two or more years in selecting trained employees for positions involving professional or technical skill; and (*c*) a person who has served for two or more years as a judge of a court of record; which three persons shall constitute a board of special examiners to conduct an examination under the provisions of this Act for the purpose of preparing a list of the names, in the order of their relative excellence, of persons eligible to appointment to the office of State Civil Service Commissioner in the classified service. The members of said board shall serve until an eligible list has been established and appointment made therefrom. Two members of said board shall constitute a quorum for the transaction of business. Said board<sup>9</sup> shall, within thirty days after its members have been appointed, proceed to advertise and hold an examination under the provisions of this Act. The method of examination and the manner of preparing a resulting

<sup>9</sup> It should be noted that this board does its work under the penal provisions of sections 27 and 29 by examination prescribed in its general features in section 23, and that papers are open to public inspection. These provisions should give reasonable assurance of honest and intelligent examinations.

eligible list and certifying to the Governor therefrom by said board of examiners, and making appointments in accordance with such certification by the Governor shall be the same as prescribed for other examinations, certifications and appointments under this Act, and the said board shall have the same powers and obligations in respect thereto as those vested in or imposed upon the State Civil Service Commission. Whenever a vacancy exists in the office of State Civil Service Commissioner in the classified service, the Governor shall forthwith appoint the person standing highest upon the list of persons eligible for appointment to said office until all such vacancies are filled.

Section 7. APPOINTMENT OF LOCAL COMMISSIONS: In each of the counties, municipalities, school districts and other subdivisions of the state there is hereby created a Civil Service Commission to consist of one person appointed by the chief appointing authority of such county, municipality, school district or other subdivision of the state, to serve until removed under the provisions of this Act. Whenever a vacancy exists in the office of Civil Service Commissioner the chief appointing authority shall make requisition upon the State Civil Service Commission, and the said Commission shall certify to such authority the name and address of the person standing highest upon the list of persons eligible for appointment to said office, and the appointing authority shall forthwith appoint the person so certified by the said Commission therefor.<sup>10</sup>

<sup>10</sup> Attention is called to the administration of the merit system in New Jersey and Massachusetts, where State Commissions have direct control of the services of counties and municipalities. Such an administration of the law has brought about stability and uniformity of enforcement in these states. If in the interest of simplicity, efficiency and economy of government, some such consolidation should be desirable, the provisions relating to municipal, county and school district commissions should be eliminated. If this plan is adopted subdivision (c) of section 2 should be eliminated. The committee pre-

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### Section 7. APPOINTMENT OF LOCAL COMMISSIONS:

In each of the municipalities of the state having a population of 250,000 or more persons as shown by the last census taken by the United States, there is hereby created a Municipal Civil Service Commission to consist of three persons, one of whom shall be appointed by the chief appointing authority of such municipality to serve during the term of office of the appointing authority or until removed under the provisions of this Act. The other two members of the Municipal Civil Service Commission shall be in the classified service and shall possess the same powers and authority as the third member. Two members of the Civil Service Commission shall constitute a quorum for the transaction of business. Whenever there is a vacancy in the office of the Municipal Civil Service Commissioner in the classified service the chief appointing authority shall make requisition upon the State Civil Service Commission and the said commission shall certify to such authority the name and address of the person standing highest upon the list of persons eligible for appointment to said office and the appointing authority shall forthwith appoint the person so certified by the said commission therefor.

In municipalities having a population of less than 250,000 persons, as shown by the last census, and in all counties, school districts and other subdivisions of the state there is hereby created a Civil Service Commission, to consist of one person who shall be in the classified service and who shall after examination and certification

sents as a section of the bill a provision for a state commission with local commissions under the jurisdiction and control of the state board, the state commission to have veto power over all changes in the rules of the municipal commission. Opportunity should be given also to municipalities which have no civil service law to exercise the option of accepting the direct control of the state commission. In some states where the home rule sentiment is strong the civil service is recognized as a state function and the state commission administers the merit system directly.

as above provided be appointed by the chief appointing authority of such municipality, county, school, district, or other subdivision, to serve until removed under the provisions of this Act.

Section 8. ACTING COMMISSIONER IN CERTAIN CASES: In case of death, resignation, removal, absence, or incapacity of a Civil Service Commissioner, the chief examiner subordinate to such Commissioner shall perform the duties of such Commissioner until such absence or incapacity shall cease, or until an appointment under the provisions of this Act shall be made. Such acting Civil Service Commissioner shall have all the powers of a Civil Service Commissioner.

Section 9. COMMISSIONERS TO HOLD NO OTHER OFFICE: No Civil Service Commissioner shall hold any other lucrative office or employment under the United States, the State, or any county, municipality or other subdivision thereof.

Section 10. SALARY AND EXPENSES: The State Civil Service Commissioner and each Municipal Civil Service Commissioner in municipalities having a population of five hundred thousand or more inhabitants shall receive an annual salary of not less than \_\_\_\_\_ thousand dollars.<sup>11</sup> Each Civil Service Commissioner shall be paid his necessary traveling expenses incurred in the discharge of his official duty. It shall be the duty of the respective financial authorities of the state, counties, municipalities, school districts and subdivisions of the state to make adequate provision to enable the Commission to carry out the purposes of this Act.

Section 11. USE OF PUBLIC BUILDINGS: It shall be the duty of all officers of the state and of the several counties, municipalities, school districts and other sub-

<sup>11</sup> The salary of such Civil Service Commissioner should not be less than that of the head of a state or city department.

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divisions of the state, to allow the reasonable use of public buildings and rooms and to heat and light the same for the holding of any examinations or investigations provided for by this Act, and in all proper ways to facilitate the work of any of the Civil Service Commissions.

Section 12. REMOVAL OF COMMISSIONER: No Civil Service Commissioner shall be removed except for cause, upon written charges and after an opportunity to be heard in his own defense. Such charges may be filed by any citizen or taxpayer. If made against a State Civil Service Commissioner, they shall be filed with the person holding the office of chief justice<sup>12</sup> of the highest court of the state. If made against any other Commissioner, they shall be filed with the State Commission. The charges shall be heard, investigated, and determined by the person holding the office of chief justice, as aforesaid, or by some person or board<sup>13</sup> appointed by him for that purpose, if made against a State Commissioner, and by the State Civil Service Commission, if made against any other Commissioner. The findings and decision upon such hearing shall be final, and shall be certified to the appointing authority and forthwith enforced by such authority. The person, board, or State Civil Service Commission, as the case may be, hereby authorized to hold such hearing, shall have power to administer oaths and to compel the attendance and testimony of witnesses and the production of books and papers. Each person appointed to hold such hearing under this section shall receive the compensation provided by law for special examiners, referees or similar officers. No person shall be eligible for such an appoint-

<sup>12</sup> Constitutional prohibitions in some states may prevent the chief justice to act as a trial officer.

<sup>13</sup> In states where there are official referees or other corresponding officers, it is recommended that three such persons shall be appointed.

ment unless at least ten years theretofore he has been called to the bar of a court of record within the state.

Section 13. CONTINUANCE OF PRESENT INCUMBENTS: RECORDS: Any person holding the office of Civil Service Commissioner on the date this Act takes effect, shall continue to hold such office as a temporary appointee only until such time as a regular appointment thereto under the provision of this Act can be made. Public records of any Civil Service Commission existing on the date this Act takes effect shall be delivered to the corresponding Commission created until this Act, and all lawful eligible lists, acts, and proceedings of said Commission shall remain in full force and effect.

Section 14. JURISDICTION: The State Civil Service Commission shall have jurisdiction over all persons and positions in the classified service of the state; each County Civil Service Commission, and each municipal, or other Civil Service Commission shall have jurisdiction over all persons and positions classified in the service of their respective counties, municipalities, or other subdivisions of the state.

Section 15. INVESTIGATIONS: Each Commission shall investigate the enforcement and effect of this Act and of the rules made pursuant hereto, the conduct of the employees in the classified service, the methods of administration therein and the nature, tenure, and compensation of all offices and places in the service. It shall investigate the efficiency of all officers and employees and all groups of officers and employees in the classified service, and shall communicate to the officer, board, or other authority in charge of any department, institution, or office, its findings with recommendations for increased efficiency and economy therein.

In the course of any investigation or hearing under the provisions of this Act each Commissioner and each

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person or board appointed by said Commission to make any such investigation or to conduct any such hearing, may administer oaths, and shall have power to secure by subpœna the attendance and testimony of witnesses and the production of books and papers.

Section 16. ATTENDANCE OF WITNESSES; FEES; FALSE OATHS: Any person who shall be served with a subpœna to appear and testify or to produce books and papers issued in the course of an investigation conducted under any provision of this Act who shall disobey or neglect to obey any such subpœna shall be guilty of a misdemeanor and shall, on conviction, be punished as provided in this Act. The fees of witnesses for attendance and travel shall be the same as fees of witnesses before the *nisi prius* courts, and shall be paid from the appropriation for the expenses of the Commission. Any judge of a court of record, either in term, time or vacation, upon application of any such Commissioner or person or board, shall compel the attendance of witnesses, the production of books and papers, and the giving of testimony before the Commission, or before any such commissioners, investigating board or person by attachment, or contempt, or otherwise, in the same manner as the production of evidence shall be compelled before said court. Every person who, having taken an oath or made affirmation in the course of any investigation or hearing under the provisions of this Act, shall willfully and knowingly testify or declare falsely, shall be guilty of perjury and upon conviction shall be punished accordingly. No person shall be compelled to give self-incriminating testimony.

Section 17. STANDARDS AND GRADES: The Commission shall classify and grade all positions in the classified service. The Commission shall ascertain and record the duties of each position in the service, and wherever it



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appears that two or more positions in a service have duties which are substantially similar in respect to the authority, responsibility and character of work required in the performance thereof, they shall be placed in the same grade, which the Commission shall designate by a title indicative of such duties. Grades having duties of the same general nature and in the same line of promotion shall be placed in the same class, and the lines of promotion definitely specified. For each grade, the Commission shall prescribe a standard maximum and minimum salary or rate of pay and shall report to the appropriation authorities the rate being paid for analogous service in both public and private employment, together with other information pertaining to a proper rate of pay for the service over which the Commission has jurisdiction. The Commission shall by rule prescribe the minimum period of service in the grade required before a salary may be advanced or increased and a minimum standard of efficiency requisite for such salary advancement or increase. The lowest salary or rate of pay provided for any position in the grade shall constitute the grade pay and no person in such grade shall receive pay in excess of the grade pay unless he is certified by the Commission as having served the period required by said rule with an efficiency rating given by the Commission equivalent to the minimum standard of efficiency required thereby. No person shall be paid an amount greater than the maximum salary or rate of pay prescribed by the Commission for the grade in which he serves. Nothing in this Act shall prevent the authorities charged by law with appropriations for salaries from changing the pay of all positions in a grade.

Salary advancement or increase shall be made within the several grades only in the order of highest efficiency combined with relative seniority as shown by the records

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of the Commission. Where there are no records of efficiency covering a period of continuous service for six months or more a minimum standard of efficiency during such period shall be presumed.

Section 18. CERTIFICATION OF PAYROLLS: Whenever a position in the classified service is graded and the rate of pay therefor prescribed as provided in this Act, no treasurer, auditor, comptroller or other officer of the state or of any of the counties, municipalities or other subdivisions of the state shall approve the payment of or be in any manner concerned in paying, auditing, or approving any salary, wage or other compensation for services to any person holding such position unless a payroll, estimate or account of such salary, wage or other compensation containing the names of the persons to be paid, a statement of the amount to be paid each such person and the services on account of which the same is paid bearing the certificate of the Commission that the persons named in such payroll, estimate or account have been appointed or employed in pursuance of law and of the rules made by the Commission under the provisions of this Act and have complied with the terms of this Act and of the rules of the commission when required so to do, shall have been filed with him. Before making any such certificate the Commission shall investigate the nature of each item of such payroll, estimate or account, and if it shall ascertain that the provisions of the law in respect to any such item have not been strictly complied with it shall refuse to certify such item.

The Commission shall refuse to certify the pay of any public officer or employee who shall willfully or through culpable negligence violate or fail to comply with the provisions of this Act or of the rules of the Commission.

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Section 19. EFFICIENCY STANDARDS: The Commission shall by rule prescribe standards of efficiency for each grade of the service and for examinations therefor, and it shall make and keep a record of the relative efficiency of all persons in each grade. It shall provide by rule methods for ascertaining and verifying the facts from which such records of relative efficiency shall be made, which shall be uniform for each grade.

Section 20. RULES AND POWERS: The Commission shall make rules to carry out the purposes of this Act, including among other things rules for improving and regulating the classified service by this Act for the classification of all positions in the classified service, for grading positions in the service, for establishing uniform salaries in each grade, for examinations uniform for each grade, for appointments, removals, promotions, transfers, lay-offs, reinstatements, suspensions, leaves of absence, changes in compensation or title, for promoting efficiency and economy in the service, for defining cause or causes for removal from the service, provided that nothing herein shall limit or affect the power of suspension and removals granted by section 25 of this Act, for regulating the certification of the payroll and for maintaining and keeping records of the efficiency of persons, both as individuals and in groups, holding positions in the service. The Commission may at any time authorize the transfer of any employee in the classified service from one position to another position in the same grade and not otherwise, provided, however, that persons who have not been examined and certified under the provisions of this Act shall not be entitled to transfer. The Commission may from time to time make changes in such rules, provided, however, that such rules shall not be changed by the Commission at the meeting at which such action is proposed and no final action shall be taken thereon until after a public hearing, of which

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the Commission shall give five days' public notice. All rules made as herein provided and all changes therein shall forthwith be printed for distribution by said Commission. Said Commission shall give public notice of the place or places where such rules may be obtained, and in each such publication shall be specified the date, not less than ten days subsequent to the date of such publication, when such rules of changes therein shall take effect.

Section 21. CHARGES AGAINST LOCAL COMMISSIONS: Whenever the State Civil Service Commission shall have reason to believe that cause exists for the removal of any other Civil Service Commissioner it shall institute an investigation, and if it shall find any such cause shall file charges or cause the same to be filed under the provisions of Section 12 of this Act.

### Section 22. APPOINTMENTS:

(a) Whenever a position in the classified service becomes vacant, the appointing authority, if it desires to fill the vacancy, shall make requisition upon the Commission for the name and address of a person eligible for appointment thereto. The Commission shall certify to the appointing authority the name and address of the person<sup>14</sup> having the highest standing based upon examination, rating and seniority in service within the grade in which said position is granted, provided such person has been previously examined as provided in this Act for a position in said grade, and has been separated from the service

<sup>14</sup> The state constitution in New York has been held to require the certification of more than one name for each vacancy and in New York, Massachusetts, the Federal service and frequently elsewhere the rule for certifying not more than three names is in force and may be considered as an alternative provision where local conditions demand it. The following may be substituted: The Commission shall certify to the appointing authority the name of one of the three persons having the highest standing, etc.

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without fault or delinquency on his part at any time within two years prior to the date of such requisition, and provided such person is not actually and regularly employed in said grade on the date of such requisition. If there is no such person eligible for reinstatement, the Commission shall certify to the appointing authority the name and address of the person standing highest upon the list of eligibles resulting from an examination for the position in said grade.

(b) If there is no person eligible for reinstatement, and no such list of eligibles, the Commission may in its discretion certify to the appointing authority the name and address of a person for temporary appointment, with or without examination, and the appointing authority shall forthwith appoint said person from day to day not to exceed ninety days pending examination. The Commission shall forthwith proceed to hold an examination as herein provided for such grade whenever such temporary appointment is made. If after an examination is held no eligible list shall result the Commission shall forthwith proceed to hold another examination for such grade and may then authorize the continuance of said temporary appointment but not otherwise.

(c) Whenever requisition is so made, or whenever a position is held by a temporary appointee and a reinstatement list or eligible list for the grade of such position exists, the Commission shall forthwith certify the name and address of the person eligible for appointment to the appointing authority and said appointing authority shall forthwith appoint the person so certified to said position. No person so certified shall be laid off, suspended, given leave of absence from duty, transferred or reduced in pay or grade except for reasons which will promote the

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good of the service, specified in writing, and after an opportunity to be heard by the Commission, and then only with its consent and approval.

(d) Appointments shall be regarded as taking effect upon the date when the person certified for appointment reports for duty. A person tendered certification may waive or refuse certification in writing for a period, for reasons satisfactory to the Commission, and such waiver or refusal shall not affect the standing or right to certification to the first vacancy in the grade occurring after the expiration of such period. If no such waiver or refusal is filed in writing with the Commissioner, and if after one waiver had been filed and the period thereof has expired and a person tendered certification fails to report for duty forthwith after tender of certification has been made, his name may at the discretion of the Commission be stricken from all lists for such grade. Acceptance or refusal of temporary appointment or of an appointment to a position exempt from the provisions of this Act shall not affect the standing of any person on the list for permanent appointment.

(e) No person shall be eligible for appointment to any positions in the classified service unless he shall have obtained as a result of an examination for appointment within the grade such minimum mark as may be fixed by the Commission for any subject or part of the examination, and a general average upon all subjects or parts of such examination of not less than the minimum fixed by the rules of the Commission.

(f) Before an appointment or promotion is made complete the person certified by the Commission shall serve a period of probation not to exceed six months, during which period a probationer may

be discharged or reduced with the consent of the Commission.

Section 23. EXAMINATIONS:

(a) All original entrance examinations shall be public, competitive and free to all persons who may be lawfully appointed to any position within the grade for which such examinations are held, with limitations, specified in the rules of the Commission, as to residence, age, sex, health, habits, moral character, and prerequisite qualifications to perform the duties of such positions. Promotion examinations shall be public, competitive, and free only to all persons examined and certified under the provisions of this Act and who have held a position for one year or more in a grade previously declared by the Commission to involve the performance of duties which tend to fit the incumbent for the performance of duty in the grade for which the promotion examination is held. In promotion examinations efficiency and seniority in service shall form part of such examination. The Commission shall determine in filling positions if promotion examinations are practicable and hold open competitive examinations if the service conditions require.

(b) The Commission shall hold promotion examinations for each superior grade of service whenever there is an inferior grade in the same class, the duties of which directly tend to fit the incumbents thereof for the performance of the duties of the superior grade. A person who has served less than one year in a lower grade shall not be eligible for a promotion examination. If less than two persons submit themselves for a promotion examination, or if after such examination is held, all applicants fail to attain a general average of not less than the minimum standing fixed by the rules of the Commis-

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sion, it shall forthwith hold an original entrance examination and may at any time within six months certify from the eligible list resulting therefrom.

(c) All examinations shall be practical in their character, and shall consist only of subjects which will fairly determine the capacity of the persons examined to perform the duties of the position to which appointment is to be made, and may include examinations of physical fitness or of manual skill. No credit shall be allowed for service rendered under a temporary appointment. No question in any examination shall relate to political opinions or affiliations. No questions which are misleading or unfair or in the nature of catch questions shall be asked. The Commission shall control all examinations and may designate special examiners to conduct and hold such examinations as the Commission may direct and to make return and report thereof to it. The Commission may at any time substitute any other person in the place of any person so designated, and may itself act as such examining authority without designating special examiners.<sup>15</sup> As many examinations shall be held as may be necessary to provide eligibles for each grade of the service, and to meet all requisitions and to fill all positions held by temporary appointees. From the return and report of the examiners, or from the examinations made by the Commission, it shall prepare a list of eligibles for each grade of the persons who shall attain such minimum mark as may be fixed by the Commission for the service parts of such examination, and whose general average standing upon the examination for such grade is not less than the minimum fixed by the rules of the Com-

<sup>15</sup> In examinations for grades having duties involving a profession, vocation or trade generally recognized as a specialty, at least one of the examiners should be a person with practical experience in and knowledge of such specialty.



mission, and who may lawfully be appointed. Such persons shall take rank upon the list in the order of their relative excellence as determined by the examination without reference to priority of time of examination. The markings of all examinations shall be completed and the resulting eligible list posted within ninety days from the date of the examination. The Commission shall cancel such portion of any list as has been in force for more than two years, but not otherwise.

(*d*) The markings and examination papers of each candidate shall be open to his own inspection, and the markings and examination papers of all persons upon any list of eligibles shall be open to public inspection within ten days after an eligible list has been prepared. An error in the marking of any examination other than an error of judgment, if called to the attention of the Commission within one month after the posting of an eligible list resulting from such examination, shall be corrected by it; provided, however, that such correction shall not invalidate any certification or appointment previously made. Notice of the time, place, and general scope of every examination and of the duties, pay and experience advantageous or requisite for all positions in the grade for which the examination is to be held shall be given by the Commission by publication at least once a week for two weeks preceding the examination in a newspaper of general circulation published in the county or municipality in which the examination is to be held. Such further notice shall be given as the Commission may prescribe.

Section 24. REPORTS TO THE COMMISSION: Immediate report in writing shall be given to the Commission by the appointing authority and by such other persons as may be designated by the Commission, of all appoint-

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ments, reinstatements, vacancies, absences, or other matters affecting the status of positions or the performance of duties of officers or employees classified under the provisions of this Act and all such notices shall be prepared in the manner and form prescribed by the Commission.

Section 25. REMOVAL: No person holding an office or place in the classified service, except Civil Service Commissioners and persons laid off from duty whom this Act provides shall not be entitled to reinstatement, shall be removed or discharged except for cause, upon written charges and after an opportunity to be heard in his own defense. Such charges may be filed by any superior officer, any citizen, or taxpayer, and shall within thirty days after filing be heard, investigated and determined by the Commission or by some person or board appointed by the Commission to hear, investigate and determine the same.<sup>16</sup>

The finding and decision of the Commission, or of such person or board when approved by the Commission, shall be final and shall be certified to the appointing authority and shall be forthwith enforced by such authority.

Nothing herein contained shall limit the power of any superior officer to suspend a subordinate for a reasonable period not exceeding fifteen days pending hearing and decision. Every such suspension shall be without pay; provided, however, that the Commission shall have authority to investigate every such suspension, and in case of its disapproval it shall have power to restore pay to the employee so suspended.

Nothing herein contained shall limit the power of any appointing officer to suspend or dismiss a subordinate

<sup>16</sup> The composition of the removal board should be similar to that of a board of examination for a position involving a profession (see note 15).

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for any cause which will promote the efficiency of the service, upon filing with the Commission written reasons for such action and giving the person whose removal is sought reasonable notice of the same, and of any charges preferred against him, and an opportunity to answer the same in writing, and to file with the Commission affidavits in support of such answer. But no trial shall be required except in the discretion of the officer making the removal. All papers filed in the case shall be public records. The Commission may reinstate an officer or employee so removed only in case it appears after a proper hearing that the removal was made for political or religious reasons.<sup>17</sup>

Orders or directions given by a superior to a subordinate, when contrary to a provision of law or to a general rule or order lawfully made, shall be given in writing; and in proceedings under this section it shall be no defense or excuse for a forbidden act or for an omission to observe the law or any such rule or order that the act or omission was directed by a superior, unless a written direction or order from such superior to that effect is proved.

Section 26. REPORTS BY THE COMMISSION: The Commission shall investigate and report annually to the appointing authority concerning the administrative needs of the service, the personnel and positions in the service, and the compensation provided therefor, for examinations held by the Commission, the appointments made, efficiency ratings and removals in the Civil Service, the operation of the rules of the Commission and recommendations for promoting efficiency and economy in the service, with details of expenditure and progress of work. The appointing authority may re-

<sup>17</sup> The Chicago, Illinois, New Jersey, and New York Associations have approved the principle granting to the Civil Service Commission exclusive jurisdiction over removals, which would be accomplished by striking out this paragraph.

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quire a report from said Commission at any time respecting any matter within the scope of its duties hereunder. The records of the Commission shall be open to public inspection by any citizen under reasonable supervision.

Section 27. ABUSES AND FRAUDS PROHIBITED: No person shall willfully or corruptly make any false mark or report upon any examination. No person shall, by himself or in coöperation with one or more persons, willfully or corruptly defeat, deceive, or obstruct any person in respect to his or her right of test under the provisions of this Act or falsely mark, grade, estimate, or report upon the test or standing of any person tested hereunder, or aid in so doing, or furnish to any person, except in answer to inquiries of the Commission, any special information for the purpose of either improving or injuring the rating of any such person for appointment or employment. No applicant shall deceive the Commission for the purpose of improving his chances or prospects for appointment. No person shall solicit, orally or by letter, and no public officer or employee shall receive or be in any manner concerned in the receiving or soliciting of any money or valuable thing from any officer or employee holding a position in the classified service for any political party or purpose whatsoever. No person shall solicit, pay, give, or receive in any public building any money or valuable thing for any partisan political purpose whatsoever. No person shall use or promise to use his influence or official authority to secure any appointment or prospect of appointment to any position classified under this Act as a reward or return for personal or partisan political service. No public officer or employee shall, by means of threats or coercion induce or attempt to induce any person holding a position in the classified service to resign his position or to take a leave of absence from duty or to waive any

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of his rights under this Act. No person about to be appointed to any position classified shall sign or execute a resignation dated or undated in advance of such appointment. Any such resignation shall be of no effect.

Section 28. **POLITICAL ACTIVITY:** No person holding an office or place in the classified service under the provisions of this Act shall seek or accept election, nomination, or appointment as an officer of a political club or organization or take an active part in a political campaign or serve as a member of a committee of any such club or organization or circulate or seek signatures to any petition provided for by any primary or election law or act as a worker at the polls, or distribute badges, colors, or indicia favoring or opposing a candidate for election or nomination to a public office, whether federal, state, county, or municipal, or permit the use of his name for nomination or election to any public office; provided however, that nothing in this Act shall be construed to prohibit or prevent any such officer or employee from becoming or continuing to be a member of a political club or organization or from attendance upon political meetings, from enjoying entire freedom from all interference in casting his vote and from seeking or accepting election or appointment to the office of public school director or of member of a board of education or of member of a library board.

Section 29. **PENALTIES:** Any person who shall willfully or through culpable negligence violate any of the provisions of this Act, or of the rules of the Commission, shall be guilty of a misdemeanor, and shall on conviction thereof be punished by a fine of not less than \$50.00 and not more than \$3,000.00, or by imprisonment for a term not exceeding six months, or by both such fine and imprisonment, in the discretion of the court.

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Section 30. WHAT OFFICERS TO PROSECUTE: Prosecution for violations of this Act may be instituted either by the Attorney General, the State's Attorney, or other public prosecuting officer for the county in which the offense, or some part thereof, is alleged to have been committed, or at the election of the Civil Service Commission by special counsel appointed by it. Such a prosecution if begun by a public prosecutor shall be conducted and controlled by him unless and until his term of office shall expire or upon his request some other person shall be substituted as prosecuting officer in the particular case.

Whenever the Attorney General, the State's Attorney or other prosecuting officer for the county in which an offense under this Act is alleged to have been committed shall refuse to prosecute any person alleged to have committed such an offense, or shall fail to prosecute such person after the lapse of thirty days after the alleged offense is brought to his attention, then any taxpayer may apply to any judge of a *nisi prius* court of such county for the appointment of a special attorney to conduct a prosecution of such person or persons, and upon such application the court may appoint some competent attorney to prosecute the person or persons alleged to have committed the offense, and the special attorney so appointed shall have the same power and authority in relation to any such prosecution as the Attorney General, the State's Attorney or other prosecuting officer would or might have had if such special attorney had not been appointed.

Section 31. CIVIL SUITS: It shall be the duty of the Commission to begin and conduct all civil suits which may be necessary for the proper enforcement of this Act and of the rules of the Commission and to defend all civil suits which may be brought against the Commission. The Commission shall be represented in such

suits by the chief legal officer of the state, municipality or other subdivision of the state, but said Commission may in any case be represented by special counsel appointed by it. Any taxpayer of the state may maintain an action in any court of record to recover for the treasury any sums paid contrary to the provisions of this Act or of the rules of the Commission from the person or persons authorizing such payment, or to enjoin the person or persons from making such payment, or to enjoin the Commission from attaching its certificate to a payroll in violation of the provisions of this Act.

Section 32. REPEAL: All laws or parts of laws in so far as they are inconsistent with this Act or any of the provisions thereof, are hereby repealed.

### **Draft of a Civil Service Law for Cities**

[This draft of a civil service law for cities was prepared to meet a demand in the work of the National Civil Service Reform League. One of the most important branches of that work is the extension of the merit system in state and municipal government. From all parts of the country requests are received at the office of the League for forms of civil service laws applicable to cities of varying sizes. In response to these requests the League has furnished copies of the laws in force in other cities, but these are in many instances the result of a building process and of frequent amendment, while in other cases they are distinctly inadequate. The laws applying to large cities contain provisions which are either entirely unnecessary or far too complicated for the small city. There was urgent need for a simple draft containing the most essential provisions for an effective merit system and suited to the small city, to which additions could be made to meet local conditions and the demands of a larger service.

The Committee disavows any purpose of drawing a model or ideal civil service law. It has purposely omitted those provisions which may be regarded as in the experimental stage, and has adopted those only that have been proved of value by experience. The work has been done by comparing existing civil service laws, selecting from them the provisions that are essential, and reducing these to the simplest language. As new lines of activity followed by civil service commissions prove their value, provision will be made for them in future drafts. As it stands we are prepared to show existing precedents for every provision contained in it and the actual working of these provisions.]

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Section 1. The mayor<sup>1</sup> shall appoint three persons as civil service commissioners to serve one for two years, one for four years and one for six years. Each alternate year thereafter, the mayor<sup>1</sup> shall appoint one person as the successor of the member whose term shall expire, to serve for six years.<sup>2</sup> Any vacancy shall be filled by the mayor<sup>1</sup> for the unexpired term. Not more than two of the members shall be adherents of the same political party and no member shall hold any other salaried public office. The mayor<sup>3</sup> may remove a commissioner during his term of office only upon stating in writing the reasons for removal and allowing him an opportunity to be heard in his own defense.

Sec. 2. The commission shall appoint a chief examiner, at an annual salary of \$———,<sup>4</sup> who shall also act as secretary. This position shall be in the competitive class. The Commission may appoint such other subordinates as may, by appropriation, be provided for.

Sec. 3. The civil service of the city is hereby divided into the unclassified and the classified service.

The unclassified service shall comprise:

(a) All officers elected by the people.

(b) All heads of principal executive departments.<sup>5</sup>

<sup>1</sup> Or "council" in those commission cities in which the appointing power is lodged in the council.

<sup>2</sup> If the term of the mayor is one year, the terms of the commissioners should be three years, one expiring each year.

<sup>3</sup> Or, in commission cities where the council is the appointing power, "the council by unanimous vote."

<sup>4</sup> This amount should be stated but will vary according to the size of the city. In all cases it should be made large enough to secure the services of a competent and high-grade man.

<sup>5</sup> Or, in commission cities "all members of executive boards," *e. g.*, the school board.

This exception of heads of principal executive departments is universal at present; but it is suggested there should be a clear distinction between "supervisors" of a department, and expert heads entrusted with detailed administration. The supervisors may well be political, either elected, as under the commission form of government, or, under other forms, appointed by the mayor as his cabinet



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- (c) One deputy and one secretary to each principal executive officer.
- (d) Superintendents, principals, and teachers in the school system of the city.<sup>6</sup>
- (e) All judges and one secretary to each.<sup>7</sup>

The classified service shall include all other positions now existing or hereafter created.

Sec. 4. The commission shall prescribe, amend, and enforce rules for the classified service, which shall have the force and effect of law, shall keep minutes of its proceedings and records of its examinations, and shall make investigations concerning the enforcement and effect of this chapter and of the rules. It shall make an annual report to mayor.<sup>8</sup>

The rules shall provide:

- (1) For the classification of all positions in the classified service.
- (2) For open, competitive examinations to test the relative fitness of applicants for such positions.
- (3) For public advertisement of all examinations at least ten days in advance in at least one newspaper of general circulation and by posting a notice in the city hall.

officers or committees to help him determine policies and supervise the departments. The expert heads should be permanent, under civil service rules, entrusted with and held responsible for the drawing, assignment and execution of contracts and the discipline of employees under them, so as to take contracts and places wholly out of politics. The selection of these heads should be either by promotion, or by open competition on a basis of inquiry into education, training and actual experience, conducted with the aid of independent experts selected by and acting under a civil service commission. (See reports of Special Committee on the Application of the Merit System to the Higher Municipal Officers, published by the National Civil Service Reform League.)

<sup>6</sup> Only where the school system is under the jurisdiction of a school board distinct from the city government.

<sup>7</sup> It is customary, but not necessary, to include also in the unclassified service employees of the legislative branch. Certainly this should not be done in commission-governed cities.

<sup>8</sup> Or "council."

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- (4) For the creation of eligible lists upon which shall be entered the names of successful candidates in the order of their standing in examination. Such lists shall remain in force not longer than two years.
- (5) For the rejection of candidates or eligibles who fail to comply with the reasonable requirements of the commission in regard to age, residence, sex, physical condition or who have been guilty of crime or of infamous or disgraceful conduct or who have attempted any deception or fraud in connection with an examination.
- (6) For the appointment of the person<sup>9</sup> standing highest on the appropriate list to fill a vacancy.
- (7) For a period of probation not to exceed six months before appointment or promotion is made complete, during which period a probationer may be discharged or reduced with the consent of the commission.
- (8) For temporary employment without examination, with the consent of the commission, in cases of emergency and pending appointment from an eligible list. But no such temporary employment shall continue longer than sixty days nor shall successive temporary employments be allowed.
- (9) For transfer from one position to a similar position in the same class and grade and for reinstatement within one year of per-

<sup>9</sup> Or "of one of the three persons." The state constitution in New York has been held to require the certification of more than one name for each vacancy and in New York, Massachusetts, the Federal service and frequently elsewhere the rule for certifying three names is in force. The rule for certifying the highest name only is best suited to small cities where candidates are few. It is, however, the rule in Chicago.

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sons who without fault or delinquency on their part are separated from the service or reduced.

- (10) For promotion based on competitive examination and records of efficiency, character, conduct, and seniority. Lists shall be created and promotions made therefrom in the same manner as prescribed for original appointment. An advancement in rank or an increase in salary beyond the limit fixed for the grade by the rules shall constitute promotion. Whenever practicable vacancies shall be filled by promotion.
- (11) For suspensions for not longer than thirty days and for leaves of absence.
- (12) For discharge or reduction in rank or compensation after appointment or promotion is complete only after the person to be discharged or reduced has been presented with the reasons for such discharge or reduction, specifically stated, and has been allowed a reasonable time to reply thereto in writing. The reasons and the reply must be filed as a record with the commission.
- (13) For the appointment of unskilled laborers in the order of priority of application after such tests of fitness as the commission may prescribe.
- (14) For the adoption and amendment of rules only after public notice and hearing. The commission shall adopt such other rules, not inconsistent with the foregoing provisions of this section, as may be necessary and proper for the enforcement of this chapter.

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Sec. 5. In case of a vacancy in a position requiring peculiar and exceptional qualifications of a scientific, professional, or expert character, upon satisfactory evidence that competition is impracticable and that the position can best be filled by the selection of some designated person of recognized attainments, the commission may, after public hearing and by the affirmative vote of all three commissioners, suspend competition, but no such suspension shall be general in its application to such position and all such cases of suspension shall be reported, together with the reason therefor, in the annual reports of the commission.

Sec. 6. All examinations shall be impartial and shall deal with the duties and requirements of the position to be filled. When oral tests are used a complete record of questions and answers shall be made. Examinations shall be in charge of the chief examiner except when members of the commission act as examiners. The commission may call on other persons to draw up, conduct, or mark examinations and when such persons are connected with the city service it shall be deemed a part of their official duty to act as examiners without extra compensation.

Sec. 7. All persons in the city service holding positions in the classified service as established by this chapter at the time it takes effect shall retain their positions until discharged, reduced, promoted, or transferred in accordance therewith. The commission shall maintain a civil list of all persons in the city service showing in connection with each name the position held, the date and character of every appointment and of every subsequent change in status. Each appointing officer shall promptly transmit to the commission all information re-

quired for the establishment and maintenance of said civil list.

Sec. 8. No treasurer or other public disbursing officer shall pay any salary or compensation for service to any person holding a position in the classified service unless the payroll or account for such salary or compensation shall bear the certificate of the commission that the persons named therein have been appointed or employed and are performing service in accordance with the provisions of this chapter and of the rules established thereunder. Any taxpayer of the city may maintain an action in any civil court of record to recover for the city treasury any sums paid contrary to the provisions of this section from the person or persons authorizing such payment or to enjoin the commission from attaching its certificate to a payroll or account for services rendered in violation of the provisions of this chapter or of the rules established thereunder.

Sec. 9. In any investigation conducted by the commission it shall have the power to subpoena and require the attendance of witnesses and the production thereby of books and papers pertinent to the investigation and to administer oaths to such witnesses.

Sec. 10. No person in the classified service, or seeking admission thereto, shall be appointed, reduced or removed or in any way favored or discriminated against because of his political opinions or affiliations.

Sec. 11. No officer or employee of the city shall, directly or indirectly, solicit or receive, or be in any manner concerned in soliciting or receiving any assessment, subscription or contribution for any political party or political purpose whatever. No person shall, orally or by letter, solicit, or be in any manner concerned in soliciting, any assessment, subscription or contribution

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for any political party or purpose whatever from any person holding a position in the classified service.

Sec. 12. No person holding a position in the classified service shall take any part in political management or affairs or in political campaigns further than to cast his vote and to express privately his opinions.

Sec. 13. Any person willfully violating any of the provisions of this chapter, or of the rules established thereunder shall be guilty of a misdemeanor.<sup>10</sup>

<sup>10</sup> In case the general penal laws of the state do not provide a penalty for general misdemeanors for which no special penalty is provided, a specific penalty should be provided in this section.

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### BIBLIOGRAPHIC NOTE

**Introduction.** The following note makes no pretense of presenting an exhaustive bibliography of material relating to problems of personnel. It has for its purpose merely to point out, under appropriate headings, the more important publications bearing upon the subject of personnel administration to which the general student may refer in seeking information on the subject.

**Bibliographies.** Much the most comprehensive bibliography of works dealing with public personnel matters is that published by the Women's Auxiliary to the Civil Service Reform Association at New York, under the title *Bibliography of Civil Service Reform and Related Subjects*. The third edition of this work appeared in 1913.

Another bibliography of value is that contained in the Twenty-first Report of the United States Civil Service Commission, 1905, the title of which is *List of References on the Civil Service*. This list was prepared at the request of the Commission by A. P. C. Griffin, Chief Bibliographer of the Congressional Library. The statement is made that this list is "a continuation and, in some measure, a revision of the list previously prepared by the Civil Service Commission."

For special bibliographies relative to civil service retirement and teachers' pension systems, see bibliographies contained in *Principles Governing the Retirement of Public Employees*, by Lewis Meriam, and *Teachers' Pension Systems in the United States*, by Paul Studensky, both of which represent volumes pre-

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pared by the Institute for Government Research and published on its behalf by D. Appleton & Co., the former in 1918 and the latter in 1920.

**British Conditions.** The information regarding civil service conditions in Great Britain and the movement for civil service reform in that country is of value since the experience of England has been largely drawn upon in promoting the cause of civil service reform in this country. The official British "Blue Books" contain a wealth of material on the subject.

Special mention should be made of the *Reports of the Royal Commission Appointed to Inquire into the Civil Establishment* (1887-90), and the *Reports of the Royal Commission on the Civil Service* (1912-1915).

For an excellent account of the movement for civil service reform in England, see Dorman B. Eaton's well known work, *Civil Service in Great Britain: A History of Abuses and Reforms and Their Bearing upon American Politics*. The author, while Chairman of the United States Civil Service Commission under President Hayes, spent a year in London, at his own expense, studying the civil service question of England. The results of his studies were transmitted to Congress in the form of a report that was published as a House Document in 1879. This report was later republished by Harper and Bros. both in book form and as an issue in their "Franklin Square Library."

A more recent work dealing with British conditions is *The Civil Service of Great Britain*, by Robert Moses, one of the Columbia studies in History, Economics, and Public Law, published in 1914. In this work emphasis is placed on the success of the system of competitive examination and the parallel with the United States.

A work of great value dealing with a special phase of the personnel problem is A. Lawrence Lowell's *Colonial Civil Service* (1900), which describes and dis-



cusses the system of selecting and training "Colonial officials in England, Holland, and France."

Recently a number of valuable reports have been prepared by certain of the British dominions dealing with their personnel systems. Especially noteworthy are: *The Classification of the Civil Service in Canada*, prepared under the direction of the Civil Service Commission of Canada by authority of the Parliament of Canada (1919), and *The Report of the Royal Commission on Public Service Administration*, Commonwealth of Australia (1920)

The special reports of the Civil Service Commissions of the British Dominions and Colonies also contain much information of value to American students.

**Civil Service Reform Movement in the United States.**

There is a wealth of material bearing upon the movement for civil service reform in the United States. This material is contained in the annual reports of the civil service commissions, national, state, and municipal, the proceedings and other publications of civil service reform associations, periodicals dealing with public affairs, and privately published works. The *Bibliography of Civil Service Reform and Related Subjects*, published by the Women's Auxiliary to the Civil Service Reform Association at New York, lists most of this material that is of value. Here reference will be made only to certain outstanding publications.

Of especial importance are the annual reports of the United States Civil Service Commission, the Thirty-seventh of which was published in 1920. The earlier reports were longer than later issues, were of a less formal character, and contained more information of a general character relative to the progress of civil service reform in the United States. The Twenty-first Report, published in 1905, gives in chronological order references to United States Congressional Documents and,

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in a separate list, the reports bearing on the subject issued by the executive services of the United States.

Special mention may also be made of the reports of the civil service commissions of the states of Illinois, Massachusetts, New York and Wisconsin, and those of the cities of Chicago, New York, and Los Angeles.

Among non-official publications, the most important are those issued by the National Civil Service Reform League. The *Bibliography of Civil Service Reform and Related Subjects*, to which reference has been made, contains a section setting forth in detail the Publications of Civil Service Reform Associations and Other Organizations, and gives the contents of each of the annual reports of proceedings of the National Civil Service Reform League and the affiliated local bodies. The National Civil Service Reform League publishes a monthly entitled *Good Government*. This periodical was first issued in 1892 and represents a consolidation of the *Civil Service Record*, published by the Civil Service Reform Association of Baltimore and Cambridge from 1881 to 1892 and the *Civil Service Reformer*, published in Baltimore from 1881 to 1892.

Among works of private authorship, especial mention should be made of *The Federal Service: A Study of the System of Personnel Administration by the United States Government*, by Lewis Mayers, Studies in Administration, Institute for Government Research, 1921; *Orations and Addresses*, by George William Curtis, published in two volumes in 1894, the second volume of which contains addresses on civil service reform matters; *Fighting the Spoilsman*, by William Dudley Foulke, published in 1919; and *The Civil Service and the Patronage*, by Carl Russell Fish, published in 1905.

**Classification and Standardization of Civil Service Employees.** All of the earlier literature relative to civil service matters concerns itself almost wholly with the problem of the abolition of the spoils system through the introduction of the merit system in selecting employees, and the prohibition of improper political activities on the part of public officers and employees. Only within recent years have studies been made regarding the other phases of the personnel problem. Of these studies, the most important are those having for their purpose to establish a standard classification of employees as a basis upon which to determine compensation and to handle other problems of personnel administration. Within the past few years a number of exceedingly important official reports have been published regarding this matter. Among these the most important are: *Report of the Congressional Joint Commission on Reclassification of Salaries*, submitted to Congress on March 12, 1920; *Report of the Senate Committee on Civil Service of the Government of the State of New York*, 1916; *Report on the Reclassification of Salary Grades and Rates of New York City*, published by the New York Bureau of Standards, 1916; and *Classification of the Civil Service of Canada*, made under the direction of the Civil Service Commission of Canada, 1919, to which reference has already been made.

On this subject, see also various articles appearing in the periodical, *Municipal Research*, published by the New York Bureau of Municipal Research, and the article "Employment Standardization in the Public Service," by William C. Beyer, in the *National Municipal Review*, volume ix, June, 1920, which reviews the progress in this field up to approximately the date of its publication, though it does not include a discussion of the federal report.

**Special Studies.** During the war the federal govern-

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ment found itself confronted with many problems of employment management. The results of its studies having in view the solution of these problems have been in part published. The most important of these publications are: *Handbook on Employment Methods*, 1919, *Training Ship-yard Workers*, 1919, and *Organizing the Employment Department* 1918, issued by the United States Shipping Board Emergency Fleet Corporation; and *The Personnel System of the United States Army*, 1919, issued by the War Department.

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